

U.S. Department
of Transportation
**United States
Coast Guard**



Marine Pollution Notice of Violation "TICKET" User's Guide

COMDTINST M5582.1



COMDTINST M5582.1

FEB 17 1995

COMMANDANT INSTRUCTION M5582.1

Subj: MARINE POLLUTION NOTICE OF VIOLATION "TICKET" USER'S GUIDE

1. **PURPOSE.** This Manual establishes policies, procedures and standards for the administration of the Marine Pollution Notice of Violation "Ticket" program.
2. **ACTION.** Area and district commanders, commanders of maintenance and logistics commands and chiefs of offices and special staff divisions at Headquarters shall ensure that the provisions of this Manual for the administration of the Marine Pollution Notice of Violation "Ticket" program are followed.
3. **BACKGROUND.** The Coast Guard's civil penalty process is cumbersome and time consuming. Field personnel spend an inordinate amount of time processing small oil spills and pollution prevention violations. Additionally, the civil penalty system includes a multi-layered review process which delays timely notification of the responsible party. The Marine Pollution Notice of Violation program modifies civil penalty process by creating a citation which allows immediate notification of an alleged violator of the violation and the penalty proposed by the government. It also allows direct payment to the treasury without district or hearing officer involvement.

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J. C. CARD
Rear Admiral, U.S. Coast Guard
Chief, Office of Marine Safety, Security
and Environmental Protection

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BY
WHOM ENTERED



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CHAPTER 1. INTRODUCTION

- A. The Coast Guard's civil penalty process can be cumbersome and time consuming. Field personnel can spend an inordinate amount of time processing small oil spills and pollution prevention violation cases to a hearing officer. The Notice of Violation (NOV) program is intended to address these issues. It uses a *Notice Of Violation/Settlement Offer* which allows immediate notification of an alleged violator of the violation and the penalty proposed by the government. It also allows direct payment to the treasury without district staff or hearing officer involvement. All payments are sent directly to a lock box.
- B. The Program is designed to be a flexible solution, which can be adopted by other Coast Guard programs in the future without an additional regulatory change. A pilot program was conducted in Charleston, SC, Galveston, TX, and Long Beach, CA. Captain of the Port (COTP) Zones. The pilot program was well received by most everyone that were exposed to the program. The lessons learned from the pilot program have been incorporated into the national program.
- C. To ensure continued success of the NOV program, each unit should issue a letter of designation, as NOV issuing officers, to qualified officers and petty officers. Thorough investigations must be completed before the decision on use of the NOV can be made. *Thorough* investigations and *accurate* processing of the Ticket Case/Notice of Violation are as important as a full pollution case with associated marine violation case. This program does not in anyway eliminate the need for a complete and comprehensive pollution investigation with the associated gathering of facts, witnesses, samples, and/or photographs where appropriate. The use of the NOV program is designed to provide timely notification of proposed penalty to the suspected violator and reduce computer time in the processing of cases handled through the NOV program.



CHAPTER 2. NOTICE OF VIOLATION COMPONENTS

- A. The Form. The Notice of Violation (NOV) form is a 4 part, no carbon required (NCR) form. The forms contain pre-printed sequential numbers in order to minimize data entry errors and to facilitate tracking by the bank and MSIS. Pages are clearly marked in red indicating the disposition of each copy.
- B. 33 CFR 1.07-11. This section spells out the NOV requirements and should be referenced whenever questions arise as to regulatory authority [See 59 FR 66477, dated 27 December 1994.] It allows a NOV to be issued to a identified party for any Coast Guard civil penalty violation if predetermined criteria has been established. The party then has the option of paying the prescribed penalty and closing the case, declining the case which allows the unit to convert it to a MV case, or ignoring the NOV which will automatically convert the case after 60 days. Once a NOV has been converted to an MV case, it is to be processed in accordance with established guidelines.
- C. MSIS Entry Screens. One goal of the NOV program is to minimize the amount of computer time investigators must spend entering a violation case into MSIS. If the case is not paid within 60 days or the party takes no action, the NOV is considered declined and the case is automatically converted to a Marine Violation case that must be fully developed by the originating unit. The violation case is then sent to the District Program Manager and Hearing Officer in accordance with established policy.
- D. Civil Penalty Collections. A lock-box similar to the Vessel Documentation User Fee lock-box is used for collections. The violator mails the payment, with a copy of the NOV, to the Nations Bank lock-box. They in turn will deposit the payment and enter the required financial data into a computer system that links with MSIS. This closes the case and notifies MLCPAC collections of the transaction. MLCPAC creates the account receivable and documents payment.
- E. Issuing Officer Training and Qualifications. Each command will determine who will be issuing NOV's and shall ensure they receive appropriate training before being designated. Both officers and petty officers must be designated in writing by the COTP prior to issuing NOV's. As a minimum, these persons should be mature, experienced personnel, already qualified in some aspect of port operations, investigations, or marine inspection work.



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CHAPTER 3. INITIATING A CASE

- A. Scope of NOV Program. Notice of Violation (NOV) may be issued in the field or mailed to the party. An NOV is issued in the field only when the information necessary to document a violation is immediately available in the field or from the MSO via a telephone call. Otherwise, it can be sent later via regular mail or hand delivered. Certified mail is not necessary. Notices of Violation may be issued for two types of violations: (1) Oil discharges in violation of the FWPCA, if they are of 100 gallons or less, and (2) Pollution prevention violations (33 CFR Parts 154, 155 and 156). A Notice of Violation may not be issued when the total proposed penalty for all violations found exceeds \$5,000.
- B. Criteria for NOV. To determine whether to issue a Notice of Violation for an oil discharge of 100 gallons or less, first conduct a full field investigation. Then refer to the Oil Discharge Violation Guidance in this booklet. Using the Elements of a Violation table in the Guidance, determine whether your investigation enables you to presently document each of the 5 elements of an unlawful discharge: (1) Oil was discharged (2) Oil was discharged from a vessel, an onshore facility, or an offshore facility (3) Oil was discharged into or upon a navigable water of the United States, an adjoining shoreline, or a water of the contiguous zone and/or which may affect natural resources belonging to, pertaining to, or exclusively managed by the United States (4) The oil is creating a visible sheen, film, sludge, or emulsion (5) and the responsible party (owner, operator, and/or person in charge) can be identified. IF YOU CANNOT DOCUMENT THE 5 ELEMENTS, DO NOT ISSUE A NOTICE OF VIOLATION! If you can document the 5 elements, use the Proposed Penalty Calculation table in the Oil Discharge Violations Guidance to determine whether you can issue a Notice of Violation for a Category A, B or C violation and, if so, what the proposed penalty should be. Use whole gallons when determining the size of the spill. To determine whether to issue a Notice of Violation for a violation of pollution prevention requirements (33 CFR Parts 154, 155 and 156) refer to the Pollution Prevention Violations Guidance in this booklet.

C. Determining Level of Penalty

1. The Notice of Violation (NOV) penalty guidance is a modification of COMDTINST 16200.3A. Enclosure (2) of COMDTINST M5582 specifies predetermined penalties for oil spills 100 gallons or less and pollution prevention violations. Categories are provided for noncommercial and commercial entities and individuals.
2. The COTP must decide within the framework of the guidance of COMDTINST M5582.1 how it will be applied to his/her area of responsibility. Some of the factors involved in this decision process are the:
 - a. scope and nature of port operations
 - b. the maritime community served; and
 - c. special environmental considerations
3. The COTP has the flexibility to use the NOV program for oil spills of 100 gallons or less under the following criteria.
 - a. Noncommercial: The person responsible for the spill was engaged in a noncommercial activity at the time of the spill. A noncommercial penalty is always against an individual.
 - b. Commercial: The vessel, facility, or other entity involved in the spill was engaged in a commercial activity at the time of the spill including any maintenance, transit, or provisioning to support a commercial activity.
 - c. Commercial Individual: The individual responsible for the spill was employed in a commercial activity at the time of the spill.
 - d. First Offense: The noncommercial, commercial, or commercial individual has no history of a previous violation for a spill in the last 12 months from the date of the spill being investigated. A PREVIOUS SPILL IS DEFINED AS ONE WHERE A FINAL ASSESSMENT HAS BEEN MADE BY A COAST GUARD HEARING OFFICER OR AN NOV HAS BEEN PAID.
 - e. Second Offense: The noncommercial, commercial, or commercial individual has a history of ONE previous violation for a spill in the last 12 months from the date of the spill being investigated.

THE SECOND OFFENSE IS TO BE DETERMINED BY THE HISTORY OF A SPECIFIC VESSEL, FACILITY, OR INDIVIDUAL INVOLVED. THE RECORD OF OTHER ENTITIES OWNED BY THE SAME COMPANY ARE NOT CONSIDERED IN DETERMINING THE LEVEL OF OFFENSE.

- f. Third and further offenses: The SECOND offense amount is used. However, if an entity has had multiple offenses within a 12 month period it may be appropriate not to use an NOV but to develop a full case for consideration by a hearing officer.
 - g. Spill history unknown: If the spill history of the entity involved is unknown use the FIRST Offense penalty amount.
 - h. Spill in the last 12 months not considered: Checking this block indicates that the COTP has been unable to verify or has chosen not to consider the past spill history. Therefore, if this block is checked the appropriate penalty for a FIRST offense is used.
4. The COTP has the flexibility to use the NOV program for a pollution prevention violation (PPR) under the following criteria.
- a. Noncommercial: There is no noncommercial category for PPR violations for an NOV. Use the Commercial category regardless of ownership or individual status.
 - b. Commercial: The vessel, facility, or other entity involved in the spill was engaged in commercial activity at the time of the PPR violation.
 - c. Commercial Individual: The individual responsible for the PPR violation was employed in a commercial capacity at the time of the violation.
 - d. First Offense: The commercial, or commercial individual has no history of a previous violation for the specific PPR regulation that has been violated in the last 12 months from the date of the PPR violation being investigated. A PREVIOUS PPR VIOLATION IS DEFINED AS ONE WHERE A FINAL ASSESSMENT HAS BEEN MADE BY A COAST GUARD HEARING OFFICER OR AN NOV HAS BEEN PAID.
 - e. Second Offense: The commercial, or commercial individual has a history of ONE previous violation for the SAME PPR violation in the last 12 months from the date of the PPR violation being investigated.

THE SECOND OFFENSE IS TO BE DETERMINED BY THE HISTORY OF A SPECIFIC VESSEL, FACILITY, OR INDIVIDUAL INVOLVED. THE RECORD OF OTHER ENTITIES OWNED BY THE SAME COMPANY ARE NOT CONSIDERED IN DETERMINING THE LEVEL OF OFFENSE.

- f. Third and further offenses: The NOV is not to be used for third and further offenses.
- g. PPR violation history unknown: If the PPR violation history of the entity involved is unknown use the FIRST offense penalty amount.

D. Warning Tickets

1. THE ISSUANCE OF WARNING NOV'S IS NOT AUTHORIZED! 33 CFR 1.07 must be amended before warning NOV's can be issued. The NOV forms and TK product set within MSIS were developed with the expectation that warning NOV's for Pollution Prevention violations only would be included in the program at a later date.
- E. If you do issue a Notice of Violation, clearly advise that the responsible party may either pay the proposed penalty or decline the Notice of Violation. Also clearly state that the procedures for exercising these options and the party's rights are explained on the back side of the Notice of Violation.
 - F. It is not required that the party sign the NOV in order for it to be issued. However, if it is not signed it is recommended that some comment be put in the signature block i.e. "Mailed to Party", "Hand Delivered", etc....
 - G. The NOV is a four part form: Part 1 should be retained for the unit file. Parts 2 and 3 should be given to the party being issued an NOV. One is for their records and one is for them to pay or decline the NOV. Part 4 should be mailed to MLCPAC (fpb-2). NOV's may be batched and mailed to MLCPAC weekly. The MLCPAC address is:

MLCPAC (FPB-2)
Coast Guard Island
Alameda, CA 94501-5100

CHAPTER 4. NOTICE OF VIOLATION "TICKET" INVESTIGATION PRODUCTS

A. Use. This is a step-by-step guide to the use of the Ticket Investigation Products required to process a pollution ticket case. This guide is organized in the order you would logically input a case from start to finish. This manual includes most tasks needed to process a case using the Ticket Investigation Products. You may not need to use all tasks presented under a product to process a single case. You will select a sequence based on the requirements of your particular case. **ALL NOV CASES SHALL BE VALIDATED WITHIN 3 WORKING DAYS TO FACILITATE THE PROCESSING BY MLCPAC OF IMMEDIATE PAYMENTS RECEIVED BY THE RESPONSIBLE PARTY.**

B. Creating a Pollution Ticket Case.

1. To create a Pollution NOV Case within MSIS you use the Investigation Activity NOV Report (IATR) within MSIS. There are two ways to start entry into the IATR. The first option is to enter SEL,9 in the command line on the MSIS Directory screen; once the NOV Investigation Entry Index is on your screen you enter SEL,1 in the command line and NEW in the Case line. The second option is to free-form by entering -IATR,E,CASE=NEW in the command line. This will get you a blank IATR screen.
2. Once you have the blank IATR screen you will notice that unlike all other MSIS products you must enter your NOV Number from your paper Notice of Violation (ticket). All pre-printed NOV numbers are unique. MSIS will not provide a NOV number for you. It must be unique or it will be rejected. If you enter your NOV number and it is rejected and you have verified that the number you have entered is entered correctly, call G-MEP-1 Headquarters ASAP at (202) 267-6714 and ask for assistance.
3. You will notice that the IATR looks a great deal like an Investigation Activity Preliminary Report (IAPR) and some of the supplements from the Marine Investigation Module. The reason for this is simple. Since a violation of U.S. law has occurred, a complete and comprehensive investigation needs to be done prior to making the determination to process a NOV. The NOV provides a means to give immediate feedback to the responsible party for minor incidents. It is not intended to be used in a major pollution incident or cases with special circumstances that would be considered a category C or D per COMDTINST 16200.3A. See guidance printed on your NOV pad. **WHEN IN DOUBT DO NOT USE THE NOV PROGRAM!**

Note: Resource hours can not be recorded in the TK product set.

4. The following fields require data on initial entry:

- a. NOV Number - A ten (10) character long number taken from the NOV issued. It must start with TK. Be very careful to record the TK number accurately.
- b. Subject - A free-form field that will appear on the open, sleeping, and closed case logs.
- c. Incident Date - The date the incident occurred, not the date the MSIS entries are being made. Enter this field in the following manner: DD/MOS/YR
- d. Cites - The Specifications being issued for this NOV. At least one Specification is required.
- e. Amount - The dollar amount of proposed penalty for each Specification. See enclosure (2) for values.
- f. Name - Name of the Person NOV being issued to.
- g. Date Issued - The date the NOV was issued.

5. This does not mean that any or all other information can not be entered on initial entry, only that the above list is the minimum data needed to start an IATR. The Validate, Close to File, or Forward to a parent command slots are locked on initial entry. You can not Validate or Forward to a parent command without verifying the Responsible Party and the Vessel or Facility.

6. It is very important that all cites are entered correctly, therefore, the use of the edit map (? explain) for the cite slot is highly recommended. The Cites within TK product set are numbered. Look at the list of Cites available, restore the screen image and enter the number that was next to the Cite for which you issued the NOV against. When you send the screen, the Cite will map into the data slot. There are twelve (12) Cites that should have lower case letters as part of the Cite. Note: Cites in the map list contain upper case letters. They will remain this way when mapped into the data slots. Once you send the screen again and bring it back in update or retrieval, the appropriate cites will contain lower case letters. If you need to modify the cite in any way you need to blank out the cite and enter the appropriate number from the map list. Cite values must match what is in the edit map (? explain) list even though they do not contain the appropriate lower case letters. Once the product is sent, the background program will check for upper case letters and change them to lower case letters, where appropriate. This data slot

is not checked again unless a change is made in that data slot. Even if you delete a letter and replace it with the same letter the system will recognize this as a change and re-check that data field. This will result in data errors that can only be corrected by replacing the value in the cite slot with a value from the edit map (? explain) list.

C. Casualty Event Sequence (Pollution Only)

1. This section of the product set has been adapted from the Marine Casualty product set. In some cases the coded values provided will not accurately describe the situation of the case. Use the most logical sequence of events and enabling factors to describe the cause of the incident. One casualty event is required for pollution cases. However, there is no requirement to fill in all the enabling factor data fields. If you do not find a value that accurately describes the circumstances of the case, leave that data field blank and send G-MEP a mailbox to that effect recommending the addition of a coded value. Do not try to use values that do not fit.

D. Edit Checks

1. There are additional edit checks the system will do upon Entry, Update, validation or when a case is forwarded from a detachment to the parent command. They are as follows:
 - a. Issue Date can not be before the incident date.
 - b. No dates can be in the future.
 - c. Cite must be a valid specification as listed in the specification library. (Use of the lookup table will avoid problems.)
 - d. Latitude and Longitude can not be outside the following ranges:

Latitude -- Degrees can not be greater than 90
 Minutes can not be greater than 59 or
 if Degrees is 90 Minutes can not be
 greater than 00.
 Seconds can not be greater than 0 if
 Degrees is 90.

Longitude -- Degrees can not be greater than 180
 Minutes can not be greater than 59 or
 if Degrees is 180 Minutes can not be
 greater than 00.
 Seconds can not be greater than 0 if
 Degrees is 180.

2. The following is a list of data slots that have edit mapped values (? explain):
 - a. Waterbody
 - b. Latitude
 - c. St (State Codes)
 - d. Longitude
 - e. Role
 - f. Cite
 - g. Units (of Measure)
 - h. Type (Casualty Event)
 - i. Class (Casualty Event)
 - j. State (Casualty Event Modifier 1)
 - k. Class (Casualty Event)
 - l. Subclass (Casualty Event)
 - m. State (Casualty Event Modifier 2)
 - n. Party (Casualty Event)
3. The following is a list of data slots that are edited fields but do not have edit mapped values (? explain):
 - a. Date slots
 - b. IPN
 - c. Ref Case
 - d. VIN/FIN
 - e. Code
4. Most of the data in IATR is required to file a NOV case, since the IATR has been pared down to collect the minimum amount of information necessary to support the case.

E. Supplemental Information

1. In the Case Information section, you will find the optional fields to capture supplemental information that you may have pertaining to this case. On initial entry, if you plan to file a supplement, these fields may be marked with an "X". In update, you must use SEL to select the appropriate supplement. This applies to a Witness List, Samples, Photographs, more than one Pollutant, or more text than what will fit in the incident brief; you must mark or select the appropriate slots and the supplements indicated will be queued for you. Note: NOV cases do not require supplemental information. If the case is paid, no supplemental information needs to be filled. However, if the case is not paid all supplemental information must be entered in the MV Case. All supplemental information must be collected as part of the case investigation to support the MV conversion should that occur.
2. If you select one of the following: Witness, Samples, Photographs, or Pollutants you will get one supplement with a section for each category. This supplement works like the Pollution Supplement in the Marine Violation products (MVPS). Once the Supplement is on the screen you can jump from one category to another by placing the category name wanted in the command line and pressing send.
3. If you enter any data in a Witness paragraph, the NAME or IPN slot is required.
4. The following is a list of data slots that have edit mapped values (? explain):
 - a. Witness:
 - (1) Connection with Case
 - b. Samples
 - (1) Source Type
 - (2) Pollutant Form
 - c. Photos
 - (1) Film Size
 - (2) Type

5. NOV Pollution Supplement (TKPS) and NOV Narrative Supplement (TKNS) use "MORE" logic to allow the user to access more than one screen image of data. The number of entries displayed per screen image depends on the product that you are accessing. Pollutants does NOT use "MORE" logic. In order to obtain additional pollutant paragraphs you must return to IATR in update mode and enter the appropriate number of pollutants in the Number of Substances Spilled slot.
6. The NOV Narrative Supplement provides a way to add narrative to a NOV case. It allows an entry of any kind of case related information (alphabetic or numeric). In entry mode, TKNS displays fifty blank lines, plus twenty-five "insert" blank lines. The user may enter a total of seventy-five lines of narrative on this initial screen. To receive additional lines, the user presses MORE; MORE causes TKNS to display the next fifty text lines.
7. To exit TKNS completely, the user must press SEND two or three times, depending on whether he entered text in the insert lines.

F. Validating a Case

1. The following fields in addition to the required fields listed in Section 3.1 "Creating a Pollution NOV Case" are required data to validate or forward a case from a detachment to the parent command. Cases should be validated within 3 working days from their creation:
 - a. Investigator's Initials - At least one set of Initials is required.
 - b. NOV Type - At least one NOV Type must be "X'ed".
 - c. Notification from NRC - Is a Y/N slot.
 - d. Incident Time
 - e. Known/Estimated - One of these slots needs a "X".
 - f. Responsible Party - Must be verified.
 - g. Involved Subject - Must be verified.
 - h. Title - Title of the person receiving the NOV.
 - i. Employer - Employer of the person receiving the NOV.
 - j. Incident Brief - At least a key stroke must be entered.
2. If NOV type is FWPCA the following data fields are also required to validate or forward a case from a detachment to the parent command:
 - a. Waterbody
 - b. Latitude
 - c. Longitude
 - d. Pollutant Details - At least one substance with amounts and Units.
 - e. Casualty Event Sequence - At least one casualty event must be entered for pollution cases.

G. Detachment/Parent Command

1. A detachment may only close a case to file or forward a case to its parent command. A detachment may not validate a case, it must pass the case to the parent command for validation. All validation requirements must be met, however, to successfully pass the case to the parent command.
2. The parent command may either validate, close to file, or return to the detachment any NOV case submitted by a detachment. If a detachment forwards a case to the parent command and for some reason the parent wants additional information entered into the case, they must pass the case back to the detachment, which will reopen the case at the detachment. Only units that are detachments will have the forward option on the IATR screen. Only MSO's that are parent commands will have the return slot option on cases forwarded to them from a detachment.
3. The detachment must first file a case and then place an "X" in the FORWARD slot of the Case Information paragraph. The system date is then placed in the corresponding date slot. At this time the case is removed from the detachment's IASP (Open Case Log), placed on its TKSL (Sleeping Case Log), and also placed on the parent commands IASP (Open Case Log).
4. All slots on IATR (except VALIDATE and CLOSE TO FILE) and all supplements are locked when the case is passed from the detachment to the parent. However, the parent may make comments on TKNS (NOV Narrative Supplement).
5. When the parent validates the case, the entry on the parent command's IASP (Open Case Log) is removed and an entry is placed on the parent command's TKSL (Sleeping Case Log).
6. When the parent closes a case to file, the entry on the parent's and detachment's TKSL (Sleeping Case Log) is moved to the TKPL (Closed Case Log).
7. Both the parent and detachment's TKSL (Sleeping Case Log) entries are removed if a detachments case is paid or converted to an MV case.

H. Close to File

1. The Close to File (CTF) slot is for NOV's that are withdrawn from the responsible party at the direction of the COTP after they have been issued.
2. To use CTF you still need to fill in the following required data slots:
 - a. NOV Number
 - b. Investigators Initials
 - c. NOV Type
 - d. Name and Date NOV Issued
 - e. If NOV Type is FWPCA then Pollutant(s), Amounts, Latitude, Longitude, and water body would be required.
3. Once all the appropriate data slots have been filled in and you place an "X" in CTF, you press send. The system will bring you a screen with the following data slots:
 - a. Close to File Information - One of the following data slots must be marked: Pursued Via: (A) MC
(B) PS
(C) No Action
(D) TK
 - b. Remarks - Why the case was CTF, and what action was taken to notify the NOV recipient. If No Action is marked, enter explanation of why no further action is being taken. If TK, MC, or PS is marked include MSIS case number.

I. Voided NOV's

1. The void slot is for NOV's that have been destroyed or have become unusable, prior to being issued.
2. To use void you need to fill in the following required data slots:
 - a. NOV Number
 - b. Put an X in the void block

- c. Put in remarks why this action is being taken. i.e. too many mistakes on form, dropped into water and unusable etc.
3. The void slot can only be used if an IATR has NOT been processed. Once you press GO on a screen the void slot is no longer available. If this happens, close the NOV to file and give an explanation.
4. All NOV numbers must be accounted for.

J. Logs

1. The following are the logs that are available in the NOV product to assist you in managing your work load:
 - a. IASP - Open case log
 - b. TKSL - Sleeping case log - cases validated but have not been paid or converted to a MV case.
 - c. TKPL - Closed case log - cases that have been CTF, paid, or converted to a MV case.
 - d. TKMV - TK to MV Case log - TK cases that have been converted to a MV case.
 - e. TKPP - Partial payment log - a log that tracks partial payments of NOV's.
 - f. TKUL - Unknown log - a log that captures payments of NOV's from unknown sources.
 - g. TKOP - Over payment log - a log that tracks over payments of NOV's.
2. TK logs and IASP allow the user to retrieve only the open cases that "belong" to a specific IO. To accomplish this, the user places initials in the INVESTIGATOR'S INITIALS slot on TKEI, or in the Command line with INIT = <initials> when free-forming. If the user does not specify initials the log retrieves all open investigation cases at the port.
3. The user may use log criteria dates to limit the display on TK logs and IASP. Log criteria dates may be entered in the FROM and TO slots on TKEI, or add them to the Command line with "FM" and "TO" when free-forming.
4. IASP allows the user to limit the display to only the open cases of one type that the user specifies. To do this, the user types ITEM=<MC, PA, or TK> and IASP will retrieve and display only the specified case type.

K. Collections

1. There is a product available to see the payment history of a responsible party for a NOV. Access to this product is through the NOV number.
 - a. TKFC -- NOV Investigation Funds Collected -- In the command line you would enter -TKFC,R,CASE=TK_____.
2. This will bring up a payment history for the NOV number you entered. If there has been no payments made against the NOV number entered you will get the message: NO PAYMENTS ON CASE.
3. When a NOV payment is returned due to insufficient funds. PACAREA, collections branch, will send a E-mail to (G-MIM) notifying of the situation and the case will be converted to an MV by (G-MIM).



CHAPTER 5. GENERAL POLICY

A. NOV to Marine Violation Conversion

1. A TK case will be automatically converted to a Marine Violation case when the NOV recipient does not pay the NOV within the specified time frame. If the issuing unit receives written notification that the party declines the NOV, the TK case file shall be closed by marking the decline block. When the NOV converts automatically due to non receipt of payment, if the TK case has been validated, all the information already entered is mapped into the new MV case. If the case has not been validated, the unit and the associated district will receive a mailbox message which will prompt the unit to take the appropriate action on the case before conversion can take place. Once converted, the case will be displayed on the unit's open Marine Violation Status at Port (MVSP) case log as an open MV case with the TK case as the source or detection case. At this point units should review the case for completeness and accuracy, from the view point that the NOV never existed. The case will then be processed to the Hearing Officer via the district program manager. DO NOT include a copy of the NOV with the MV case file when it is forwarded.

B. NOV Declined by Party

1. When the unit receives written notification that the party has elected not to accept the NOV (declined), the case shall be recalled from the sleeping case log and the decline slot marked. This will cause the case to convert to a MV case. A password level with validation authority is needed to mark the decline slot on IATR.
2. If the unit receives written notification that the party seeks to have the NOV value modified, consider it a statement of decline by the party. If additional information is provided by the party, return the additional information to the party with an explanation that they should submit such material to the civil penalties hearing officer after they receive a letter of notification from a hearing officer.

C. Penalty Payment Policy

1. Notice of Violation Form. The NOV form specifies the suspected violation(s) for oil spills and/or pollution prevention regulations and the proposed penalty for each violation based on preset proposed penalties in COMDTINST M5582.1. The NOV form also specifies three options available to the alleged responsible party. The party may pay the penalty in FULL and close the case, decline the NOV in which case the NOV will be converted to a Marine Violation (MV) case and be forwarded to the Hearing Officer for a determination. The Hearing Officer is not bound by a NOV. The party may also chose to take no action in which case the NOV automatically converts to an MV case after 60 days and is treated in the same manner as a case that has been declined.

2. Payment of Penalty. The NOV form stipulates that the payment is to be sent to:

U.S. Coast Guard - Civil Penalties
PO Box 100160
Atlanta, GA 30384

IT IS NOT RECOMMENDED THAT THE UNIT OR ANY COAST GUARD INDIVIDUAL ACCEPT PAYMENT. Issuing Officers should facilitate the payment of NOVs by carefully explaining how payment is to be made. Once received in Atlanta the payment will be credited to the appropriate NOV number and the case will be closed. It is critical that the party forward a copy of the NOV form or indicate the NOV number for the payment to be properly credited. Once the payment is credited, the NOV case will be closed.

3. Partial Payments. Partial payments are NOT ALLOWED under the NOV program. If an alleged violator states they wish to make a partial payment they should be instructed that these are not acceptable under the NOV program and that only the Hearing Officer can accept such payments. Therefore, if the party needs a partial payment schedule they should be instructed to DECLINE the NOV. The case is then processed to the Hearing Officer as an MV case. At that time the party can request a partial payment schedule.

Payments received in Atlanta for an NOV that are less than the amount stated on the NOV will be treated by MLC PAC as a request for a partial payment. The responsible

party will be informed that these payments are not allowed under the NOV program and the payment will either be returned or held in escrow to be credited against a final determination by the Hearing Officer on the resulting MV case.

D. NOV as option for a Letter of Undertaking (LOU).

1. COTP's have the discretion to accept proof of payment of an NOV in lieu of requiring a LOU or Surety Bond. Verification that a certified check or money order has been mailed to Atlanta is considered proof of payment.



NOTICE OF VIOLATION

CG-5582

INSTRUCTIONS FOR PROCESSING THE FORM

This is a four part form that does not require carbon paper and consists of 20 sets bound in a pad. Accurate and complete data must be legibly printed with a ball point pen on each set. Place the inner front flap which is part of the bottom of the pad under the last copy of the set of forms to keep from marking the other sets.

The guidance on the back of this page is provided to assist in determining if a ticket is appropriate for the violation or violations and all five elements of a violation can be established. Refer to the penalty guidance to determine penalty amounts for each cite. Ensure the **TOTAL AMOUNT** is recorded on the Notice of Violation form. Signatures are not required prior to issuing the form. However, if a signature is not obtained from the receiving party, a notation should be entered in the receiving signature block explaining the disposition of the Notice of Violation form (e.g. mailed to party, hand delivered at scene, etc).

The pages are marked in RED to indicate the disposition of each copy: Issuing unit keeps the **FIRST** copy; Send the **FOURTH** copy to MLC PAC (fpb-2) within 48 hours; second and third copy are given to the violator, (**SECOND** - for violators records, **THIRD** - sent with payment or to decline the Notice of Violation, to the address printed on the form).

NOTICE OF VIOLATION GUIDANCE
CG-5582

INSTRUCTIONS FOR ISSUING A NOTICE OF VIOLATION

Scope of Program. This program applies only to Class I Administrative Civil Penalties under the FWPCA. Notices of Violation may be issued for two types of violations: (1) oil discharges in violation of the FWPCA, if they are 100 gallons or less, and (2) pollution prevention violations. A Notice of Violation may be issued only when the total proposed penalty for all violations found (based on the guidance in this booklet) is \$5,000 or less. A Notice of Violation may be issued only when a full investigation is completed.

Oil Discharge Violations. To determine if the Notice of Violation program applies for an oil discharge of 100 gallons or less, first conduct a field investigation. Then refer to the Oil Discharge Violations Guidance in this booklet. Using the Elements of a Violation table in the Guidance, determine whether your investigation enables you to document each of the 5 elements of an unlawful discharge: (1) Oil was discharged (2) from a vessel, an onshore facility, or an offshore facility (3) into or upon the navigable water of the United States, an adjoining shoreline, or a water of the contiguous zone and/or which may affect natural resources belonging to, pertaining to, or exclusively managed by the United States (4) creating a visible sheen, film, sludge, or emulsion (5) and the responsible party (owner, operator, and/or person in charge) can be identified. In addition to the 5 elements, to issue a Notice of Violation you also must be able to determine the approximate size of the discharge and the violation history of the suspected party involved.

IF YOU CANNOT DOCUMENT THE 5 ELEMENTS, INCLUDING THE ADDITIONAL INFORMATION REQUIRED, YOU ARE NOT AUTHORIZED TO ISSUE A NOTICE OF VIOLATION. If you can document the 5 elements, use the Proposed Penalty Calculation table in the Oil Discharge Violations Guidance to document whether you can issue a Notice of Violation for a Category A, B, or C violation and, if so, what the proposed penalty should be. **No deviation from the Notice of Violation penalty tables is authorized.**

As used in the Oil Discharge Violations Guidance, a first, second, third offense, etc., refers to any violation within the last 12 months, from the date of the violation being processed, at the same facility or by the same vessel. Use the second offense penalty amount for the second and subsequent offenses. An offense is defined as one where a Notice of Violation has been paid or a final assessment has been made by a Hearing Officer on a marine violation case.

Pollution Prevention Violations. To determine whether to issue a Notice of Violation for a violation of pollution prevention requirements, refer to the Pollution Prevention Violations Guidance in this booklet.

As used in the Pollution Prevention Violation Guidance, a first and second offense refers to any violation of the same cite in 33 CFR within the last 12 months, from the date of the violation being processed, at the same facility or by the same vessel. The Notice of Violation is only to be used for a first and second offense of a Pollution Prevention Violation in a 12 month period. An offense is defined as one where a Notice of Violation has been paid or a final assessment has been made by a Hearing Officer on a marine violation case.

General.

- * Do not issue a Notice of Violation if the total proposed penalty for all violations exceeds \$5,000.
- * Despite the existence of a block in CG-5582, warnings are not allowed for pollution Prevention violations on a Notice of Violation until regulatory changes are made and announced under separate guidance.
- * If you issue a Notice of Violation, clearly advise the responsible party that they may either pay the proposed penalty or decline the Notice of Violation. Also clearly state that the procedures for exercising these options and the party's rights are explained on the back of the Notice of Violation form.



UNITED STATES COAST GUARD

TK 00000000

NOTICE OF VIOLATION

Coast Guard Unit Address

Date and time of Violation: _____ [est./known] NRC case # _____

Location of violation	Waterbody	River mile	longitude	latitude	City	State
Party in Violation						
Name		Title		Vessel	Flag	
Mailing Address		VIN		Service		
City	State	Zip		Facility		
Country	Postal Code		FIN			
Telephone		Party involved		Category		
		IPN		MMD/LIC	Issue port	

Discharge Violation

☐ OWNER, ☐ OPERATOR, OR ☐ PERSON IN CHARGE WAS FOUND IN VIOLATION OF

<u>REGULATION</u>	<u>NATURE OF VIOLATION</u>	<u>VIOLATION NUMBER</u>	<u>PROPOSED PENALTY</u>
		(1st, 2nd, or Unknown)	

☐ 33USC1321B(b)(3) Discharge of oil in violation of _____ \$ _____

I observed a\ ☐ sheen ☐ sludge on ☐ a navigable water of the U.S.
 It was reported a\ ☐ film ☐ emulsion ☐ an adjoining shoreline

The violation resulted from a discharge from a _____ Spill violation in the past 12 months? The estimated volume is _____
☐ commercial ☐ vessel ☐ Yes
☐ non-commercial ☐ onshore facility ☐ No
☐ offshore facility ☐ Not considered

Pollution Prevention Violation

<u>REGULATION</u>	<u>NATURE OF VIOLATION</u>	<u>VIOLATION</u>	<u>WARNING</u>	<u>PROPOSED PENALTY</u>
		(1st, 2nd, Unk.)		

<input type="checkbox"/> _ CFR _____	_____	_____	_____	\$ _____
<input type="checkbox"/> _ CFR _____	_____	_____	_____	\$ _____
<input type="checkbox"/> _ CFR _____	_____	_____	_____	\$ _____
<input type="checkbox"/> _ CFR _____	_____	_____	_____	\$ _____
<input type="checkbox"/> _ CFR _____	_____	_____	_____	\$ _____
<input type="checkbox"/> _ CFR _____	_____	_____	_____	\$ _____
TOTAL PENALTY				\$ _____

Incident Description _____

Issued by _____ Date/Time _____
 Received by _____ Position _____ Date _____

ACCEPT THE PROPOSED PENALTY

☐ I / We accept the proposed penalty.

The proposed Total Penalty amount for the violations is stated on the front page. **Receipt of your full payment within 45 days will close this case.**

Directions: If you choose to accept this proposed penalty, check the box above and no later than 45 days of receipt of this NOV remit payment with the copy marked BANK / DECLINE COPY to the address below. Make your check payable to "U.S. Coast Guard - Civil Penalties" and write the number of this NOV on your check.

Remit your payment to:

U.S. COAST GUARD - CIVIL PENALTIES
PO Box 100160
ATLANTA, GA 30384

Note that the maximum allowable penalty for each violation cited is \$10,000 per violation.

DECLINE THE PROPOSED PENALTY

☐ I / We decline the proposed penalty.

_____/_____
Signature of Responsible Party Date

If you dispute the Total Penalty proposed or other circumstances concerning this Notice of Violation (NOV) you may DECLINE it not later than 45 days of receipt. Declining the NOV will result in the case file being sent to a Coast Guard Hearing Officer for a determination. After the Hearing Officer makes a preliminary determination you will be afforded the opportunity to respond to the allegations or request a hearing. **THE HEARING OFFICER IS NOT BOUND BY THE NOV AND DETERMINATION BY THE HEARING OFFICER MAY RESULT IN A FINAL ASSESSMENT EQUAL TO OR GREATER THAN THE PROPOSED PENALTY.**

Directions: To decline, check the box above on the BANK / DECLINE COPY and return it to the Coast Guard unit address found on the front page of this NOV. **Other communications concerning this case should be sent to the Hearing Officer upon receipt of a Letter of Notification.**

FAILURE TO RESPOND

If you neither accept or decline this Notice of Violation (NOV) it will be treated in the same manner as if you had declined. There is no penalty for failing to respond to the NOV. However, failure to respond may cause substantial delay in receiving a Hearing Officer's determination.

NOTICE OF VIOLATION PENALTY GUIDANCE

Use: This guidance is to be used to determine the correct penalty for any alleged violation where an Notice of Violation is used. No deviation from this guidance is allowed under the Notice of Violation program. If it is not listed do not use a Notice of Violation.

Definitions

Noncommercial: The person responsible for the spill was engaged in a noncommercial activity at the time of the spill. A noncommercial penalty is always against an individual. THERE IS NO NONCOMMERCIAL CATEGORY FOR POLLUTION PREVENTION VIOLATIONS. USE THE COMMERCIAL ENTITY RATE REGARDLESS OF OWNERSHIP OR INDIVIDUAL STATUS.

Commercial: The vessel, facility, or other entity involved in the spill or pollution prevention regulation (PPR) violation was engaged in a commercial activity at the time of the spill including any maintenance, transit, or provisioning to support a commercial activity. All violations under the pollution prevention regulations are considered commercial activity.

Commercial Individual: The individual responsible for the spill or PPR violation was employed in a commercial activity at the time of the spill.

First Offense: The noncommercial, commercial, or commercial individual has no history of a previous violation for a spill in the last 12 months from the date of the spill or specific PPR violation being investigated.

Second Offense: The noncommercial, commercial, or commercial individual has a history of ONE previous violation for a spill or specific PPR violation in the last 12 months from the date of the violation being investigated.

A PREVIOUS VIOLATION IS DEFINED AS ONE WHERE A FINAL ASSESSMENT HAS BEEN MADE BY A COAST GUARD HEARING OFFICER OR AN NOTICE OF VIOLATION HAS BEEN PAID.

THE SECOND OFFENSE IS TO BE DETERMINED BY THE HISTORY OF A SPECIFIC VESSEL, FACILITY, OR INDIVIDUAL INVOLVED. THE RECORD OF OTHER ENTITIES OWNED BY THE SAME COMPANY ARE NOT CONSIDERED IN DETERMINING THE LEVEL OF OFFENSE.

Third and further offenses: For discharges the SECOND offense amount is used. However, if an entity has had multiple offenses within a 12 month period it may be appropriate not to use a Notice of Violation but to develop a full case for consideration by a hearing officer. FOR PPR VIOLATIONS THE NOTICE OF VIOLATION IS NOT TO BE USED FOR THIRD AND FURTHER OFFENSES.

Spill OR PPR history unknown: If the spill OR PPR history of the entity involved is unknown use the FIRST Offense penalty amount.

Spill in the last 12 months not considered: Checking this block indicates that the COTP has been unable to verify or has chosen not to consider the past spill history. Therefore, if this block is checked the appropriate penalty for a FIRST offense is used.

Notice of Violation Guidance for Oil Discharge Violations**Proposed Penalty Calculation -- NONCOMMERCIAL FIRST (1st) OFFENSE**

If all the following concerning the discharge are true	And if the discharge was:	Then the proposed penalty is:
Small volume (100 gallons or less) Unintentional Noncommercial source No significant gravity or culpability	Less than 10 gallons	\$50
	25 gallons or less	\$125
	26-50 gallons	\$250
	51-75 gallons	\$375
	76-100 gallons	\$500

Proposed Penalty Calculation - 2nd or more Offenses

Multiply by two (2) the amount for a first offense.

If an oil discharge does not meet this criteria, a Notice of Violation penalty cannot be processed.

Notice of Violation Guidance for Oil Discharge Violations

**Proposed Penalty Calculation -- COMMERCIAL ENTITY
FIRST (1st) OFFENSE**

If all the following concerning the discharge are true	And if the discharge was:	Then the proposed penalty is:
Small volume (100 gallons or less) Commercial or governmental source No significant gravity or culpability	Less than 10 gallons	\$250
	10-25 gallons	\$500
	26-50 gallons	\$625
	51-75 gallons	\$800
	76-100 gallons	\$1,000

**Proposed Penalty Calculation -- COMMERCIAL INDIVIDUAL
FIRST (1st) OFFENSE**

Divide the Commercial Entity Rate by two (2).

Proposed Penalty Calculation - 2nd or more Offenses

Multiply by two (2) the amount for a first offense for either a commercial entity or commercial individual as appropriate.

If an oil discharge does not meet this criteria, a Notice of Violation penalty cannot be processed.

NOTICE OF VIOLATION GUIDANCE FOR POLLUTION PREVENTION VIOLATIONS**COMMERCIAL ENTITY**

NOTE: USE THE COMMERCIAL ENTITY RATE FOR ALL POLLUTION PREVENTION VIOLATIONS REGARDLESS OF THE STATUS OF OWNERSHIP OF THE VESSEL OR FACILITY. IF A POLLUTION PREVENTION VIOLATION DOES NOT MEET THIS CRITERIA, THE NOTICE OF VIOLATION PROGRAM CAN NOT BE USED.

Proposed Penalty Calculation - 2nd or more Offenses

A Notice of Violation can only be used for a first or second offense for a pollution prevention violation. Subsequent violations must be processed using a Marine Violation case.

Proposed Penalty Calculation -- COMMERCIAL INDIVIDUAL

Divide the Commercial Entity Rate by two (2).

33 CFR 154: Notice of Violation (NOV) Penalty Guidance for Facilities Transferring Oil or Hazardous Material in Bulk

If the violation is:	And it is a:	Then the proposed penalty is:
Use for all violations of 33 CFR 154 unless listed below	First Violation	\$750
	Second Violation	\$2,250
33 CFR 154.120 Facility Examination: failure to allow USCG to exam or perform testing to determine compliance with this part	First Violation	\$1,500
	Second Violation	\$3,000
33 CFR 154.300 Operations manual available: operations manual not readily not readily available to person in charge	First Violation	\$1,500
	Second Violation	\$3,000
33 CFR 154.310 Operations manual incomplete: operations manual not complete	First Violation	\$375
	Second Violation	\$1,125
33 CFR 154.320 Operations manual amendments: failure to amend manual	First Violation	\$375
	Second Violation	\$1,125
33 CFR 154.550 Emergency shutdown: failure to provide	First Violation	Do not use NOV
	Second Violation	Do not use NOV
33 CFR 154.735 Facility Safety Requirements: failure to comply	First Violation	\$1,500
	Second Violation	\$3,000
33 CFR 154.740 Required records not available	First Violation	\$375
	Second Violation	\$1,125
33 CFR 154.750 Compliance with operations manual: failure to comply	First Violation	\$1,500
	Second Violation	\$3,000
33 CFR 154.804 - 154.850 Vapor Control System: any violation of these sections	First Violation	\$1,500
	Second Violation	\$3,000

33 CFR 155: Notice of Violation (NOV) Penalty Guidance for Oil or Hazardous Material Pollution Prevention Regulations for Vessels

If the violation is:	And it is a:	Then the proposed penalty is:
Use for all violations of 33 CFR 155 unless listed below	First Violation	\$750
	Second Violation	\$2,250
33 CFR 155.450 Oil pollution placard: placard not posted	First Violation	\$75
	Second Violation	\$375
33 CFR 155.700 Person in Charge Designation: failure to designate person in charge (PIC)	First Violation	\$750
	Second Violation	\$2,250
33 CFR 155.710 Person in Charge Qualification: transfer of products without a licensed PIC	First Violation	\$1,500
	Second Violation	\$3,000
33 CFR 155.720 Transfer Procedures: failure to provide transfer procedures	First Violation	\$1,500
	Second Violation	\$3,000
33 CFR 155.730 Transfer Procedure current: failure to maintain current procedures (For failure to comply with transfer procedures se 33 CFR 156.120)	First Violation	\$1,500
	Second Violation	\$3,000
33 CFR 155.740 Transfer Procedures available: transfer procedures not posted or available	First Violation	\$1,500
	Second Violation	\$3,000
33 CFR 155.750 Transfer Procedures content: incomplete transfer procedures	First Violation	\$375
	Second Violation	\$1,125
33 CFR 155.760 Transfer Procedures amendment: failure to amend transfer procedures	First Violation	\$375
	Second Violation	\$1,125
33 CFR 155.770 Draining Oil or Hazardous Materials: Intentionally draining into bilge	First Violation	\$375
	Second Violation	\$1,125
33 CFR 155.780 Emergency Shutdown: failure to have an emergency shutdown for transfers	First Violation	\$1,500
	Second Violation	\$3,000
33 CFR 155.785 Communications: inadequate means of communication / vessel to vessel transfer	First Violation	\$1,500
	Second Violation	\$3,000
33 CFR 155.790 Transfer, Lighting: inadequate lighting during a transfer	First Violation	\$1,500
	Second Violation	\$3,000
33 CFR 155.800 Transfer Hose: hose not properly marked	First Violation	\$375
	Second Violation	\$1,125
33 CFR 155.800 Transfer Hose: hose fails to meet requirements of 33 CFR 154.500	First Violation	\$1,500
	Second Violation	\$3,000
33 CFR 155.805 Closure Devices: failure to blank off hoses not connected for the transfer	First Violation	\$375
	Second Violation	\$1,125
33 CFR 155.810 Tank Vessel Security: failure to maintain surveillance for tank vessel with cargo	First Violation	\$1,500
	Second Violation	\$3,000
33 CFR 155.815 Tank Vessel Integrity: failure to close tank vessel openings	First Violation	\$375
	Second Violation	\$1,125
33 CFR 155.820 Records: required records not available	First Violation	\$375
	Second Violation	\$1,125

33 CFR 156, Subpart A: Notice of Violation Penalty Guidance for Oil and Hazardous Material Transfer Operations

If the violation is:	And it is a:	Then the proposed penalty is:
Use for all violations of 33 CFR 156, Subpart A unless listed below	First Violation	\$375
	Second Violation	\$1,125
33 CFR 156.113 Suspension Order: failure to comply with suspension order	First Violation	Do not use NOV
	Second Violation	Do not use NOV
33 CFR 156.120 Requirements for Transfer: failure to comply with requirements for transfer	First Violation	\$1,500
	Second Violation	\$3,000
33 CFR 156.130 Transfer Connections: improper transfer connections	First Violation	\$1,500
	Second Violation	\$3,000
33 CFR 156.150 Declaration of Inspection: conducting transfer without proper Declaration	First Violation	\$375
	Second Violation	\$1,125
33 CFR 156.160 Supervision by Person in Charge: conducting transfer w/o Person in charge	First Violation	Do not use NOV
	Second Violation	Do not use NOV
33 CFR 156.170 Tests, Inspections of Equipment:	First Violation	\$750
Transfer equipment not tested/inspected	Second Violation	\$2,250

33 CFR 156, Subpart B: Notice of Violation Penalty Guidance for Oil and Hazardous Material Transfer Operations

If the violation is:	And it is a:	Then the proposed penalty is:
Any violation of 33 CFR 156, Subpart B <u>except</u> those noted below	First Violation	\$750
	Second Violation	\$3,750
33 CFR 156.215 Pre-arrival Notice failure to provide pre-arrival notice	First Violation	\$1,000
	Second Violation	\$3,000
33 CFR 156.220 Reporting of Incidents: failure to provide notice of emergency incidents	First Violation	Do not use NOV
	Second Violation	Do not use NOV

33 CFR 159: Notice of Violation Penalty Guidance for Marine Sanitation Devices

If the violation is:	And it is a:	Then the proposed penalty is:
33 CFR 159.7 Marine Sanitation Device not installed, labeled, certified, operable, or on board	First Violation	\$375
	Second Violation	\$1,125



COMMAND/ _____ RESPONSE/ _____
 EI TICKET INVESTIGATION ENTRY INDEX 10NOV94

CASE/ _____ SUBJECT/ _____ PORT/ _____
 LOG CRITERIA: FROM (SINCE)/ _____ TO/ _____ INITIALS/ _____ ITEM/ _____

-- MODE --

--- SUBJECT ---

ENTRY RTRV

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IATR - INVESTIGATION ACTIVITY TICKET REPORT COMPLETE

COMMAND/ _____ RESPONSE / _____
IATR INVESTIGATION ACTIVITY TICKET REPORT 12NOV93

TICKET NUMBER/ _____ PORT/ _____ REF CASE/ _____ MV CASE/ _____
SUBJECT/ _____ INVESTIGATOR'S INITIALS/ _____

--- CASE INFORMATION ---
SEL SEL
1 POLLUTION SUPPLEMENT (TKPS) 2 NARRATIVE SUPPLEMENT (TKNS)

WITNESS/ - SAMPLES/ - PHOTOGRAPHS/ - POLLUTANTS/ - NARRATIVE SUPPLEMENT/ -
VALIDATE/ - CTF/ - DATE/ - FORWARD/ - DATE/ - RETURN/ -
DECLINED/ - DATE/ - CONVERT TO MV/ - VOID/ - DATE/ -

--- INCIDENT INFORMATION ---
TICKET TYPE: FWPCA/ - POLLUTION PREVENTION REGS/ -
NOTIFICATION FROM NRC?/ - NRC CASE NUMBER...../ -

INCIDENT DATE/ _____ TIME/ _____ KNOWN...../ - ESTIMATED/ -
LOCATION./ _____ RIVER MILE/ -
WATERBODY/ _____ LATITUDE ./ -
CITY...../ _____ ST/ - LONGITUDE./ -

--- RESPONSIBLE PARTY INFORMATION ---
LAST NAME...../ _____ IPN/ _____ V/K../ -
FIRST NAME, M.I./ _____ ROLE/ _____
COMPANY NAME...../ _____
ADDRESS - LINE 1/ _____
ADDRESS - LINE 2/ _____
CITY...../ _____
STATE...../ _____ ZIP/ -
FOREIGN:
STATE/PROVINCE../ _____
COUNTRY...../ _____ POSTAL/ _____
PHONE:/ _____
MMD.../ _____ ISSUE PORT/ _____ LIC/ _____ ISSUE PORT/ _____

--- SUBJECT INVOLVED ---
V/K VIN/FIN SUBJECT NAME FLAG SERVICE/CATEGORY
- - - - -

--- PENALTY INFORMATION ---
NUMBER OF CITES/ -

CITE/ _____ AMOUNT/ \$ _____
CITE/ _____ AMOUNT/ \$ _____

NONCOMMERCIAL/ - COMMERCIAL INDIVIDUAL/ - COMMERCIAL/ - REPEAT OFFENDER/ -

TOTAL TICKET AMOUNT/ \$ _____
NAME...../ _____ TITLE./ _____
EMPLOYER/ _____ DATE ISSUED/ _____
AMOUNT PAID/ \$ _____ DATE PAID/ _____ STATUS/ _____

--- INCIDENT BRIEF ---

--- POLLUTANT DETAILS ---
NUMBER OF SUBSTANCES SPILLED/ -

CODE/ _____ NAME/ _____
TOTALS: POTENTIAL/ _____ SPILLED/ _____ UNITS/ _____

--- CASUALTY EVENT SEQUENCE ---

EV	TYPE	CLASS	EVENT	STATE	CAUSAL EVENT
CAT	CLASS	CASUAL/ENABLING FACTORS SUBCLASS	STATE	PARTY	CAUSAL EVENT
EV	TYPE	CLASS	EVENT	STATE	CAUSAL EVENT
CAT	CLASS	CASUAL/ENABLING FACTORS SUBCLASS	STATE	PARTY	CAUSAL EVENT

IATR - INVESTIGATION ACTIVITY TICKET REPORT
CLOSE TO FILE INFORMATION SCREEN

TICKET NUMBER/ _____ PORT/ _____ REF CASE/ _____ MV CASE/ _____
SUBJECT/ _____ INVESTIGATOR'S INITIALS/ ____ -

PURSUED VIA: MC/ _ --- CLOSE TO FILE INFORMATION ---
PS/ _ TK/ _ NO ACTION/

REMARKS:

Encl. (3) to COMDTINST M5582.1

**IATR
VOID INFORMATION SCREEN**

TICKET NUMBER/ _____ PORT/ _____ REF CASE/ _____ MV CASE/ _____
SUBJECT/ _____ INVESTIGATOR'S INITIALS/ ____-____

--- VOID INFORMATION ---

REMARKS:

IATR - INVESTIGATION ACTIVITY TICKET REPORT (Entry Mode)

COMMAND/ _____ RESPONSE / _____
IATR INVESTIGATION ACTIVITY TICKET REPORT 12NOV93

TICKET NUMBER/ _____ PORT/ _____ REF CASE/ _____ MV CASE/ _____
SUBJECT/ _____ INVESTIGATOR'S INITIALS/ _____

--- CASE INFORMATION ---

SEL _____ 'SEL _____
1 POLLUTION SUPPLEMENT (TKPS) 2 NARRATIVE SUPPLEMENT (TKNS)

WITNESS./ _ SAMPLES/ _ PHOTOGRAPHS/ _ POLLUTANTS/ _ NARRATIVE SUPPLEMENT/ _
VALIDATE/ _ CTF/ _ DATE/ _____
DECLINED/ _ DATE/ _____ CONVERT TO MV/ _ VOID/ _ DATE/ _____

--- INCIDENT INFORMATION ---

TICKET TYPE: FWPCA/ _ POLLUTION PREVENTION REGS/ _
NOTIFICATION FROM NRC?/ _ NRC CASE NUMBER...../ _____
INCIDENT DATE/ _____ TIME/ _____ KNOWN...../ _ ESTIMATED/ _
LOCATION./ _____ RIVER MILE/ _____
WATERBODY/ _____ LATITUDE ./ _ - _ -
CITY...../ _____ ST/ _ LONGITUDE./ _ - _ -

--- RESPONSIBLE PARTY INFORMATION ---

LAST NAME...../ _____ IPN/ _____ V/K../ _
FIRST NAME, M.I./ _____ ROLE/ _____
COMPANY NAME...../ _____
ADDRESS - LINE 1/ _____
ADDRESS - LINE 2/ _____
CITY...../ _____
STATE...../ _____ ZIP/ _____ - _____
FOREIGN:
STATE/PROVINCE../ _____
COUNTRY...../ _____ POSTAL/ _____
PHONE:/ _____
MMD.../ _____ ISSUE PORT/ _____ LIC/ _____ ISSUE PORT/ _____

--- SUBJECT INVOLVED ---

V/K VIN/FIN SUBJECT NAME FLAG SERVICE/CATEGORY
_ _ _ _ _

--- PENALTY INFORMATION ---

NUMBER OF CITES/ _
CITE/ _____ AMOUNT/ \$ _____
CITE/ _____ AMOUNT/ \$ _____
NONCOMMERCIAL/ _ COMMERCIAL INDIVIDUAL/ _ COMMERCIAL/ _ REPEAT OFFENDER/ _
TOTAL TICKET AMOUNT/ \$ _____
NAME...../ _____ TITLE./ _____
EMPLOYER/ _____ DATE ISSUED/ _____

--- INCIDENT BRIEF ---

IATR - INVESTIGATION ACTIVITY TICKET REPORT (Entry Mode)

--- POLLUTANT DETAILS ---

NUMBER OF SUBSTANCES SPILLED/ ____

CODE/ ____ NAME/ _____
TOTALS: POTENTIAL/ _____ SPILLED/ _____ UNITS/ _____

--- CASUALTY EVENT SEQUENCE ---

EV	TYPE	CLASS	STATE	CAUSAL EVENT
____	____	____	____	____

CAT	CLASS	SUBCLASS	STATE	PARTY	CAUSAL EVENT
____	____	____	____	____	____

EV	TYPE	CLASS	STATE	CAUSAL EVENT
____	____	____	____	____

CAT	CLASS	SUBCLASS	STATE	PARTY	CAUSAL EVENT
____	____	____	____	____	____

IATR - INVESTIGATION ACTIVITY TICKET REPORT **(Update Mode at Detachment)**

COMMAND/ _____ RESPONSE / _____
IATR _____ INVESTIGATION ACTIVITY TICKET REPORT 12NOV93

TICKET NUMBER/ _____ PORT/ _____ REF CASE/ _____ MV CASE/ _____
SUBJECT/ _____ INVESTIGATOR'S INITIALS/ _____

--- CASE INFORMATION ---

SEL _____ SEL _____
1 POLLUTION SUPPLEMENT (TKPS) 2 NARRATIVE SUPPLEMENT (TKNS)

WITNESS./ _ SAMPLES/ _ PHOTOGRAPHS/ _ POLLUTANTS/ _ NARRATIVE SUPPLEMENT/ _
VALIDATE/ _ CTF/ _ DATE/ _ FORWARD/ _ DATE/ _
DECLINED/ _ DATE/ _ CONVERT TO MV/ _

--- INCIDENT INFORMATION ---

TICKET TYPE: FWPCA/ _ POLLUTION PREVENTION REGS/ _
NOTIFICATION FROM NRC?/ _ NRC CASE NUMBER...../ _____

INCIDENT DATE/ _____ TIME/ _____ KNOWN...../ _ ESTIMATED/ _
LOCATION./ _____ RIVER MILE/ _____
WATERBODY/ _____ LATITUDE ./ _ - _ - _
CITY...../ _____ ST/ _ LONGITUDE./ _ - _ - _

--- RESPONSIBLE PARTY INFORMATION ---

LAST NAME...../ _____ IPN/ _____ V/K../ _
FIRST NAME, M.I./ _____ ROLE/ _____
COMPANY NAME...../ _____
ADDRESS - LINE 1/ _____
ADDRESS - LINE 2/ _____
CITY...../ _____
STATE...../ _____ ZIP/ _____ - _____
FOREIGN:
STATE/PROVINCE../ _____
COUNTRY...../ _____ POSTAL/ _____
PHONE:/ _____
MMD.../ _____ ISSUE PORT/ _____ LIC/ _____ ISSUE PORT/ _____

--- SUBJECT INVOLVED ---

V/K VIN/FIN _____ SUBJECT NAME _____ FLAG _____ SERVICE/CATEGORY _____

--- PENALTY INFORMATION ---

NUMBER OF CITES/ _
CITE/ _____ AMOUNT/ \$ _____
CITE/ _____ AMOUNT/ \$ _____

NONCOMMERCIAL/ _ COMMERCIAL INDIVIDUAL/ _ COMMERCIAL/ _ REPEAT OFFENDER/ _

TOTAL TICKET AMOUNT/ \$ _____
NAME...../ _____ TITLE./ _____
EMPLOYER/ _____ DATE ISSUED/ _____

--- INCIDENT BRIEF ---

IATR - INVESTIGATION ACTIVITY TICKET REPORT
(Update Mode at Detachment)

--- POLLUTANT DETAILS ---
 NUMBER OF SUBSTANCES SPILLED/ ____

CODE/ ____ NAME/ ____
 TOTALS: POTENTIAL/ ____ SPILLED/ ____ UNITS/ ____

--- CASUALTY EVENT SEQUENCE ---					
EV	TYPE	CLASS	STATE		CAUSAL EVENT
____	____	____	____	____	____

CAT	CLASS	CASUAL/ENABLING FACTORS SUBCLASS	STATE	PARTY	CAUSAL EVENT
____	____	____	____	____	____

EV	TYPE	CLASS	STATE		CAUSAL EVENT
____	____	____	____	____	____

CAT	CLASS	CASUAL/ENABLING FACTORS SUBCLASS	STATE	PARTY	CAUSAL EVENT
____	____	____	____	____	____

IATR - INVESTIGATION ACTIVITY TICKET REPORT **(Update Mode at Parent - Detachment Case)**

COMMAND/ _____ RESPONSE / _____
 IATR INVESTIGATION ACTIVITY TICKET REPORT 12NOV93

TICKET NUMBER/ _____ PORT/ _____ REF CASE/ _____ MV CASE/ _____
 SUBJECT/ _____ INVESTIGATOR'S INITIALS/ _____

--- CASE INFORMATION ---

SEL

1 POLLUTION SUPPLEMENT (TKPS)

SEL

2 NARRATIVE SUPPLEMENT (TKNS)

WITNESS/ _ SAMPLES/ _ PHOTOGRAPHS/ _ POLLUTANTS/ _ NARRATIVE SUPPLEMENT/ _
 VALIDATE/ _ CTF/ _ DATE/ _ FORWARD/ _ DATE/ _ RETURN/ _
 DECLINED/ _ DATE/ _ CONVERT TO MV/ _

--- INCIDENT INFORMATION ---

TICKET TYPE: FWPCA/ _ POLLUTION PREVENTION REGS/ _
 NOTIFICATION FROM NRC?/ _ NRC CASE NUMBER...../ _____

INCIDENT DATE/ _____ TIME/ _____ KNOWN...../ _ ESTIMATED/ _
 LOCATION/ _____ RIVER MILE/ _____
 WATERBODY/ _____ LATITUDE ./ _ - _ -
 CITY...../ _____ ST/ _ LONGITUDE./ _ - _ -

--- RESPONSIBLE PARTY INFORMATION ---

LAST NAME...../ _____ IPN/ _____ V/K../ _
 FIRST NAME, M.I./ _____ ROLE/ _____
 COMPANY NAME...../ _____
 ADDRESS - LINE 1/ _____
 ADDRESS - LINE 2/ _____
 CITY...../ _____
 STATE...../ _____ ZIP/ _____ - _____
 FOREIGN:
 STATE/PROVINCE../ _____
 COUNTRY...../ _____ POSTAL/ _____
 PHONE:/ _____
 MMD.../ _____ ISSUE PORT/ _____ LIC/ _____ ISSUE PORT/ _____

--- SUBJECT INVOLVED ---

V/K	VIN/FIN	SUBJECT NAME	FLAG	SERVICE/CATEGORY
_____	_____	_____	_____	_____

--- PENALTY INFORMATION ---

NUMBER OF CITES/ _

CITE/ _____ AMOUNT/ \$ _____
 CITE/ _____ AMOUNT/ \$ _____

NONCOMMERCIAL/ _ COMMERCIAL INDIVIDUAL/ _ COMMERCIAL/ _ REPEAT OFFENDER/ _

TOTAL TICKET AMOUNT/ \$ _____
 NAME...../ _____ TITLE./ _____
 EMPLOYER/ _____ DATE ISSUED/ _____
 AMOUNT PAID/ \$ _____ DATE PAID/ _____ STATUS/ _____

--- INCIDENT BRIEF ---

IATR - INVESTIGATION ACTIVITY TICKET REPORT
(Update Mode at Parent - Detachment Case)

--- POLLUTANT DETAILS ---
 NUMBER OF SUBSTANCES SPILLED/ ____

CODE/ ____ NAME/ ____
 TOTALS: POTENTIAL/ ____ SPILLED/ ____ UNITS/ ____

--- CASUALTY EVENT SEQUENCE ---					
EV	TYPE	CLASS	STATE		CAUSAL EVENT
____	____	____	____	____	____
----- CASUAL/ENABLING FACTORS -----					
CAT	CLASS	SUBCLASS	STATE	PARTY	CAUSAL EVENT
____	____	____	____	____	____
----- CASUAL/ENABLING FACTORS -----					
EV	TYPE	CLASS	STATE		CAUSAL EVENT
____	____	____	____	____	____
----- CASUAL/ENABLING FACTORS -----					
CAT	CLASS	SUBCLASS	STATE	PARTY	CAUSAL EVENT
____	____	____	____	____	____

IATR - INVESTIGATION ACTIVITY TICKET REPORT
(Update Mode at Parent - Non Detachment Case)

COMMAND/ _____ RESPONSE / _____
 IATR _____ INVESTIGATION ACTIVITY TICKET REPORT 12NOV93

TICKET NUMBER/ _____ PORT/ _____ REF CASE/ _____ MV CASE/ _____
 SUBJECT/ _____ INVESTIGATOR'S INITIALS/ _____

--- CASE INFORMATION ---

SEL _____ SEL _____
 1 POLLUTION SUPPLEMENT (TKPS) 2 NARRATIVE SUPPLEMENT (TKNS)
 WITNESS./ _ SAMPLES/ _ PHOTOGRAPHS/ _ POLLUTANTS/ _ NARRATIVE SUPPLEMENT/ _
 VALIDATE/ _ CTF/ _ DATE/ _____
 DECLINED/ _ DATE/ _____ CONVERT TO MV/ _

--- INCIDENT INFORMATION ---

TICKET TYPE: FWPCA/ _ POLLUTION PREVENTION REGS/ _
 NOTIFICATION FROM NRC?/ _ NRC CASE NUMBER...../ _____
 INCIDENT DATE/ _____ TIME/ _____ KNOWN...../ _ ESTIMATED/ _
 LOCATION./ _____ RIVER MILE/ _____
 WATERBODY/ _____ LATITUDE ./ _ - _ -
 CITY...../ _____ ST/ _ LONGITUDE./ _ - _ -

--- RESPONSIBLE PARTY INFORMATION ---

LAST NAME...../ _____ IPN/ _____ V/K../ _
 FIRST NAME, M.I./ _____ ROLE/ _____
 COMPANY NAME...../ _____
 ADDRESS - LINE 1/ _____
 ADDRESS - LINE 2/ _____
 CITY...../ _____
 STATE...../ _____ ZIP/ _____
 FOREIGN:
 STATE/PROVINCE../ _____
 COUNTRY...../ _____ POSTAL/ _____
 PHONE:/ _____
 MMD.../ _____ ISSUE PORT/ _____ LIC/ _____ ISSUE PORT/ _____

--- SUBJECT INVOLVED ---

V/K VIN/FIN _____ SUBJECT NAME _____ FLAG _____ SERVICE/CATEGORY _____

--- PENALTY INFORMATION ---

NUMBER OF CITES/ _
 CITE/ _____ AMOUNT/ \$ _____
 CITE/ _____ AMOUNT/ \$ _____
 NONCOMMERCIAL/ _ COMMERCIAL INDIVIDUAL/ _ COMMERCIAL/ _ REPEAT OFFENDER/ _

TOTAL TICKET AMOUNT/ \$ _____
 NAME...../ _____ TITLE./ _____
 EMPLOYER/ _____ DATE ISSUED/ _____
 AMOUNT PAID/ \$ _____ DATE PAID/ _____ STATUS/ _____

--- INCIDENT BRIEF ---

IATR - INVESTIGATION ACTIVITY TICKET REPORT
(Update Mode at Parent - Non Detachment Case)

--- POLLUTANT DETAILS ---
 NUMBER OF SUBSTANCES SPILLED/ _____

CODE/ _____ NAME/ _____
 TOTALS: POTENTIAL/ _____ SPILLED/ _____ UNITS/ _____

--- CASUALTY EVENT SEQUENCE ---					
EV	TYPE	CLASS	STATE	CAUSAL EVENT	
_____	_____	_____	_____	_____	_____
----- CASUAL/ENABLING FACTORS -----					
CAT	CLASS	SUBCLASS	STATE	PARTY	CAUSAL EVENT
_____	_____	_____	_____	_____	_____
----- EVENT -----					
EV	TYPE	CLASS	STATE	CAUSAL EVENT	
_____	_____	_____	_____	_____	_____
----- CASUAL/ENABLING FACTORS -----					
CAT	CLASS	SUBCLASS	STATE	PARTY	CAUSAL EVENT
_____	_____	_____	_____	_____	_____

IATR - INVESTIGATION ACTIVITY TICKET REPORT (with sample data)

COMMAND/ _____ RESPONSE / KEY "SEL 1,2...." FOR DETAILS
IATR INVESTIGATION ACTIVITY TICKET REPORT 12NOV93

TICKET NUMBER/ TK00003056 PORT/ LOSMS REF CASE/ _____ MV CASE/ L 10 AN
SUBJECT/ F/V PURE GOLD INVESTIGATOR'S INITIALS/ DMG-GDW

--- CASE INFORMATION ---

SEL 1 POLLUTION SUPPLEMENT (TKPS) SEL 2 NARRATIVE SUPPLEMENT (TKNS)

WITNESS/ ☒ SAMPLES/ ☐ PHOTOGRAPHS/ ☒ POLLUTANTS/ ☒ NARRATIVE SUPPLEMENT/ ☐
VALIDATE/ ☒ C TF/ ☐ DATE/ 17OCT94 FORWARD/ ☐ DATE/ ☐
DECLINED/ ☐ DATE/ ☐ CONVERT TO MV/ ☒

--- INCIDENT INFORMATION ---

TICKET TYPE: FWPCA/ ☒ POLLUTION PREVENTION REGS/ ☐
NOTIFICATION FROM NRC?/ N NRC CASE NUMBER...../ _____

INCIDENT DATE/ 15OCT94 TIME/ 0900 KNOWN...../ ☐ ESTIMATED/ ☒
LOCATION/ LOS ANGELES BERTH 41 RIVER MILE/ ☐
WATERBODY/ PORT OF LA/LB LATITUDE / N 33-43.5
CITY...../ SAN PEDRO ST/ CA LONGITUDE./ W 118-16.6

--- RESPONSIBLE PARTY INFORMATION ---

LAST NAME...../ YEATON IPN/ IP94001321 V/K../ ☒
FIRST NAME, M.I./ HOPEY (NMT) ROLE/ OWNER
COMPANY NAME...../ _____
ADDRESS - LINE 1/ 1313 MOCKING BIRD WAY
ADDRESS - LINE 2/ _____
CITY...../ SAN PEDRO
STATE...../ CA ZIP/ 11111-2222
FOREIGN:
STATE/PROVINCE../ _____
COUNTRY...../ _____ POSTAL/ _____
PHONE:/ 202-267-0777
MMD.../ _____ ISSUE PORT/ _____ LIC/ _____ ISSUE PORT/

--- SUBJECT INVOLVED ---

V/K VIN/FIN SUBJECT NAME FLAG SERVICE/CATEGORY
V CA5027ZA PURE GOLD US FISHING BOAT

--- PENALTY INFORMATION ---

NUMBER OF CITES/ 1
CITE/ 33 U.S.C. 1321(b)(3) AMOUNT/ \$ 250
NONCOMMERCIAL/ ☐ COMMERCIAL INDIVIDUAL/ ☒ COMMERCIAL/ ☐ REPEAT OFFENDER/
TOTAL TICKET AMOUNT/ \$1415
NAME...../ HOPEY YEATON TITLE./ MASTER
EMPLOYER/ PURE GOLD FISHING INC. DATE ISSUED/ 15OCT94
AMOUNT PAID/ \$ 250.00 DATE PAID/ 24OCT94 STATUS/ PAID IN FULL

--- INCIDENT BRIEF ---

ON 15OCT94, MST1 CHASTAIN WITNESSED A CONCENTRATED SHEEN AROUND THE F/V PURE GOLD AT LA BERTH 41. FURTHER INVESTIGATION FOUND EXCESSIVE WAST OIL IN THE VSL'S BILGE. THE BILGE DISCHARGE HOLE HAD A FRESH STAIN RUNNING DOWN SIDE OF HUL INTO THE WATER. THE PURE GOLD WAS UNOCCUPIED. THE SHEEN DISSIPATED WITH NO CLEANUP NECESSARY. MR YEATON, THE VESSEL OPERATOR, LATER CLEANED OUT THE BILGE

--- POLLUTANT DETAILS ---

NUMBER OF SUBSTANCES SPILLED/ 1
CODE/ BSS NAME/ Bilge slopes (Examples: bilge oil, bilge waste, bilge
TOTALS: POTENTIAL/ 3 SPILLED/ 1 UNITS/ GALLONS

--- CASUALTY EVENT SEQUENCE ---

EV	TYPE	CLASS	STATE	CAUSAL EVENT
1	POLLUTION	MINOR	NEC	

--- CASUAL/ENABLING FACTORS ---

CAT	CLASS	SUBCLASS	STATE	PARTY	CAUSAL EVENT
EF	BILGE	OILY WASTE	MISALIGN	OPR	

--- CASUAL/ENABLING FACTORS ---

EV	TYPE	CLASS	STATE	CAUSAL EVENT

--- CASUAL/ENABLING FACTORS ---

CAT	CLASS	SUBCLASS	STATE	PARTY	CAUSAL EVENT

DATA SLOT DEFINITIONS (IATR)

WATERBODY (STD056):

CODE	MAP	CODE	MAP
GIRAA	ALABAMA RIVER	XXCM	MEDITERRANEAN SEA
XIRAL	ALLEGHENY RIVER	XIRMI	MIAMI RIVER
FZKA	ARCTIC OCEAN 12-200 MILES	XIRMW	MILWAUKEE RIVER
FCXA	ARCTIC OCEAN COASTAL	XIRMN	MINNESOTA RIVER
FYKA	ARCTIC OCEAN CONTIGUOUS ZONE	GOBM	MISSISSIPPI SOUND
FOKA	ARCTIC OCEAN	XIRMO	MISSOURI RIVER
XIRAR	ARKANSAS RIVER	GIBM	MOBILE BAY
XIRAT	ARTHUR KILL	GIRM	MOBILE RIVER
GIRAC	ATCHAFALAYA RIVER	XIRMH	MONONGAHELA RIVER
AIHB	BALTIMORE HARBOR	AIBM	MUSCONGUS BAY
GIBB	BARATARIA BAY	AOBN	NANTUCKET SOUND
GIBL	BAYOU LAFOUCHE	AIBN	NARRAGANSETT BAY
XZXE	BEAUFORT SEA 12-200 MILES	AIHN	NEW LONDON HARBOR
XCXE	BEAUFORT SEA COASTAL	AIBNL	NEW YORK HARBOR LOWER BAY
XYXE	BEAUFORT SEA CONTIGUOUS ZONE	AUBNU	NEW YORK HARBOR UPPER BAY
XXXE	BEAUFORT SEA	AIBNB	NEWARK BAY-HKNSK & PASSAIC R
XXXB	BERING SEA	AZN	NORTH ATLANTIC OCEAN 12-200MI
XZXB	BERING STRAITS 12-200 MILES	ACN	NORTH ATLANTIC OCEAN COASTAL
XCXB	BERING STRAITS COASTAL	AYN	NORTH ATLANTIC OCN CONTIG ZN
XYXB	BERING STRAITS CONTIGUOUS ZN	AQN	NORTH ATLANTIC OCEAN
XXXB	BERING STRAITS	PZN	NORTH PACIFIC OCEAN 12-200 MI
GIBE	BERWICK BAY	PCN	NORTH PACIFIC OCEAN COASTAL
XIRBS	BIG SANDY RIVER	PYN	NORTH PACIFIC OCEAN CONTIG ZN
XIRBW	BLACK WARRIOR RIVER	PON	NORTH PACIFIC OCEAN
AOBB	BLOCK ISLAND SOUND	XOBN	NORTON SOUND
AIHBO	BOSTON HARBOR	XIROH	OHIO RIVER
XOBB	BRISTOL BAY	FIXP	PANAMA CANAL
XIRBU	BUFFALO RIVER	GIRP	PASS A LOUTRE
AIBB	BUZZARDS BAY	XIRPS	PASSAIC RIVER
AIBZ	CAPE COD BAY	XIRPT	PATAPSCO RIVER
ALXCC	CAPE COD CANAL	PIHP	PEARL HARBOR
AIRCF	CAPE FEAR RIVER	AIBP	PENOBSCOT BAY
XXXC	CARIBBEAN SEA	GIBP	PENSACOLA BAY
AIBC	CASCO BAY	AIRPA	PISCATAQUA RIVER
AIHC	CHARLESTON HARBOR	AIHP	PONCE HBR(BAHIA DE PONCE, SJ)
PIRC	CHATHAM STRAIT	GIRZ	PORT ALLEN ROUTE
ALXCD	CHESAPEAKE & DELAWARE CANAL	AIHK	PORT CANAVERAL
AIBCH	CHESAPEAKE BAY	AIHE	PORT EVERGLADES
XIRCC	CHICAGO SHIP CANAL	AIHJ	PORT OF JACKSONVILLE
XZXC	CHUKCHI SEA 12-200 MILES	PIHL	PORT OF LA/LB
KXCX	CHUCHKI SEA COASTAL	AIHM	PORT OF MIAMI
XYXC	CHUCHKI SEA CONTIGUOUS ZONE	AIHPR	PORTLAND HARBOR/RIVER
XQXC	CHUCHKI SEA	AIROPO	POTOMAC RIVER
PIRA	CLARENCE STRAIT	PIBW	PRINCE WILLIAM SOUND
XIRCL	CLINCH RIVER	PIBP	PUGET SOUND
PIRCM	COLUMBIA RIVER	XIRRT	RARATAN RIVER
AIRCO	CONNECTICUT RIVER	XIRRU	ROUGE RIVER
GIRR	CORPUS CHRISTI SHP CHNL & HBR	GIRB	SABINE/NECHES RIVER
XIRCB	CUMBERLAND RIVER	PIRSA	SACRAMENTO RIVER
GIRCY	CUYAHOGA RIVER	XIRS	SAGINAW RIVER
AIBDE	DELAWARE BAY	PIHS	SAN DIEGO HARBOR
AIRD	DELAWARE RIVER	PIBS	SAN FRANCISCO BAY
XIRDT	DETROIT RIVER	AIHS	SAN JUAN HBR(BAHIA DE SN JN)
PZXD	DIXON ENTRANCE 12-200 MILES	PIBSP	SAN PEDRO BAY
PCXD	DIXON ENTRANCE COASTAL	AIKSV	SAVANNAH RIVER
PYXD	DIXON ENTRANCE CONTIGUOUS ZN	XIRSK	SCHUYLKILL RIVER
POXD	DIXON ENTRANCE	XIRSS	SINSLAW RIVER
AIRE	EAST RIVER	POBS	SITKA SOUND
AIREL	ELIZABETH RIVER	PIKSN	SNAKE RIVER
PIRF	FREDERICK SOUND	AZS	SOUTH ATLANTIC OCEAN 12-200MI
GIBC	GALVESTON BAY	ACS	SOUTH ATLANTIC OCEAN COASTAL
PIHG	GRAY'S HARBOR	AYS	SOUTH ATLANTIC OCN CONTIG ZN
XIRGR	GREEN RIVER	AGST	SOUTH ATLANTIC OCEAN
GIRG	GULF OUTLET-MISSISSIPPI RIVER	PZS	SOUTH PACIFIC OCEAN 12-200 MI
GZX	GULF OF MEXICO 12-200 MILES	PCS	SOUTH PACIFIC OCEAN COASTAL
GCK	GULF OF MEXICO COASTAL	PYS	SOUTH PACIFIC OCEAN CONTIG ZN
GYZ	GULF OF MEXICO CONTIGUOUS ZN	POS	SOUTH PACIFIC OCEAN
GOK	GULF OF MEXICO	GIRH	SOUTH PASS-AHP TO GOM
PIHH	HONOLULU HARBOR	GIRSO	SOUTHWEST PASS-AHP TO GOM
GIROU	HOUMA CHANNEL	XIRSC	ST. CLAIR RIVER
GIRCH	HOUSTON SHIP CHANNEL	XIRCR	ST. CROIX RIVER
AIRHU	HUDSON RIVER(BATTERY-41 OON)	AIRJ	ST. JOHNS RIVER
AIRN	HUDSON RIVER (N OF 41 00 N)	XIRSL	ST. LAWRENCE RIVER
XIRIL	ILLINOIS RIVER	XIRMA	ST. MARYS RIVER (MICH)
FOXI	INDIAN OCEAN	AIHT	ST. THOMAS RIVER
AIXI	INTERCOASTAL WTRWY-ATLANTIC	PIRST	STEPHENS PASSAGE
GIXI	INTERCOASTAL WTRWY-GULF	PIXJ	STRAIT OF JUAN DE FUCA
AIRJA	JAMES RV(INC NORFORK/NWPT NS)	FIXS	SUEZ CANAL
XIRKN	KANAWHA RIVER	AIBT	TAMPA BAY
XIRKY	KENTUCKY RIVER	XIRTN	TENNESSEE RIVER
AIRKK	KILL VAN KULL	GIBT	TIMBALIER BAY
AILK	KRAUSE LAGOON (ST. CROIX)	GIRT	TOMBIGBEE RIVER
LXLE	LAKE ERIE	XIRUM	UPPER MISSISSIPPI RIVER
LXIH	LAKE HURON	GIBV	VERMILLION BAY
LXIM	LAKE MICHIGAN	AIBV	VINEYARD SOUND
LXIO	LAKE ONTARIO	XIRW	WEILAND CANAL
GILP	LAKE PONTCHARTRAIN	PIRWL	WILLAMETTE RIVER
LILS	LAKE ST. CLAIR	XIRYK	YORK RIVER
LXLS	LAKE SUPERIOR	XIRYU	YUKON RIVER
LXLU	LAKE WASHINGTON SC/LAKE UNION	GIRMA	ST. MARYS RIVER (FLA)
AIBL	LIMETREE BAY (ST. CROIX)	XXXXW	NAVIGABLE WATERS NEC
AIBI	LONG ISLAND SOUND	XXXXN	NON NAVIGABLE WATERS NEC
XIRL	LOWER MISSISSIPPI RIVER	XXX	NON WATERBODY
PDXL	LYNN CANAL	FXK	NOT SPECIFIED FOREIGN
AOBM	MASSACHUSETTS BAY	XXXXN	UNKNOWN
XIRMU	MAUMEE RIVER		

DATA SLOT DEFINITIONS (IATR CONT)

LATITUDE (PRI031):

<u>CODE</u>	<u>MAP</u>	<u>EXPLANATION</u>
N	N	NORTH
S	S	SOUTH

LONGITUDE (PRI035):

<u>CODE</u>	<u>MAP</u>	<u>EXPLANATION</u>
E	E	EAST
W	W	WEST

STATES AND TERRITORIES (STD044):

See Chapter 2, GENERAL DATA ELEMENT TYPES, of the Quick Reference Guide.

ROLE (MVC016):

<u>CODE</u>	<u>MAPPED</u>	<u>CODE</u>	<u>MAPPED</u>
AGT	AGENT	OPR	OPERATOR
ALM	ALT MASTER	OWN	OWNER
CRT	CHARTERER	PIC	PERSON-IN-CHG
CO	CONTRACTOR	SHP	SHIPPER
LSH	LEASEHOLDER	SU	SUPERVISOR
MNG	OWNER-MNG	TNK	TANKERMAN
MST	MASTER	UNC	UNCLASSIFIED

UNITS (PSS009):

<u>CODE</u>	<u>MAPPED</u>
B	BARRELS
G	GALLONS
P	POUNDS
T	TONS-2K

CASUALTY EVENT SEQUENCE

EVENT;

TYPE (TCE003):

<u>CODE</u>	<u>MAPPED</u>	<u>CODE</u>	<u>MAPPED</u>
AB	ABANDONMENT	GI	GROUNDING INT
CA	CAPSIZE	PO	POLLUTION
FL	FLOODING	SI	SINK
GA	GROUNDING ACC	SF	STRUCTURAL FAIL

DATA SLOT DEFINITIONS (IATR CONT)

CLASS (TCE004):

CODE MAPPED

CL1 CLASS 1
CL2 CLASS 2
CL3 CLASS 3
CTR CONTROLLED
DEW DEWATERED
FOR FORCED
INC IN CHANNEL
INI INITIAL
MAJ MAJOR

CODE MAPPED

MIN MINOR
OOC OUT OF CHANNEL
POT POTENTIAL
PRC PRECAUTIONARY
PRG PROGRESSIVE
STR STRUCTURAL DAMAGE
SUD SUDDEN
UNC UNCONTROLLED

STATE (TCE005):

CODE MAPPED

CAR CARGO
FAC FACILITY'S STORES

CODE MAPPED

NEC NEC
VSL VESSEL'S STORES

**CAUSAL/ENABLING FACTORS;
CATEGORY (TCE008):**

CODE MAPPED

EF EQUIPMENT FAILURE
HF HUMAN FACTORS

CODE MAPPED

HM HAZARDOUS MATERIAL
WX WEATHER

CLASS (TCE008):

CODE MAPPED

BI BILGE
CS CARGO
CE CONT EXECUTION
DM DECK MACHINERY
FL FUEL
MI MISCELLANEOUS

CODE MAPPED

NE NAV EXECUTION
SE SEA STATE
SA SIT ASSESSMENT
SW SIT AWARENESS
ST STEERING
WC WEATHER COND

DATA SLOT DEFINITIONS (IATR CONT)

SUBCLASS (TCE009):

CODE MAPPED

CTR CARGO TRANSFER
 CH CHANNEL HAZARDS
 COT CONTAINMENT EQUIPMENT
 CON CONTROLS
 CT CURRENT/TIDE
 DOI DECLARATION OF INSPECTION
 ESD EMERGENCY SHUTDOWN
 FUE FUEL TRANSFER
 FSY FUEL SYSTEM
 FST FUELING STATIONS
 GRL GENERAL
 HYD HYDRAULIC SYSTEM
 JAC JACKING GEAR
 LEA LEAK
 LMB LOAD MGMT-BALLAST
 LMC LOAD MGMT-CARGO
 LMD LOAD MGMT-DECK
 LOT LOADED TANK
 LOA LOADING ARMS FITTINGS
 LUB LUBRICATION
 MON MONITORS
 NEC NEC
 NLS NLS
 OIF OIL IN FOREPEAK
 OIL OILY WASTE

CODE MAPPED

OWS OILYWATER SEPARATOR
 PGS PACKING GLANDS, SEALS
 PIC PERSON IN CHARGE
 PI PHYSICAL INFLUENCE
 PVG PIPES, VALVES, GENERAL
 PIP PIPING
 POR PORTABLE, EQUIP
 POT PROCEDURES, OIL
 PUM PUMPS
 RUD RUDDER
 SMD STABILITY MGMT-DMGD
 SMI STABILITY MGMT-INTACT
 STG STEERING
 TNK TANK
 TCO TRANSFER COMMS
 TEA TRANSFER EQUIP ALIGN
 TEC TRANSFER EQUIP CONN
 TRM TRANSFER MONITORING
 ULL ULLAGE OPENINGS,
 VAL VALVES
 VEN VENTS
 VI VISIBILITY INFLUENCE
 VIS VISUAL LOOKOUT
 WV WAVES
 WXF WX FORECAST/ADVISORY

DATA SLOT DEFINITIONS (IATR CONT)

STATE (TCE010):

CODE MAPPED

BRS BURST
CA CALM
CP CHOPPY
CN CONFUSED
DIS DISREGARDED
DR DRIZZLE
FO FOG
FRA FRACTURE
FR FREEZING RAIN
HA HAIL
HZ HAZE
HV HEAVY
HW HIGH WIND
HOL HOLED
HU HURRICANE
IC ICE
IN ICING
IGN IGNORED
IMM IMP MAINT
RPR IMP REPR
IMU IMP USE
INA INADEQUATE
INC INCORRECT
LI LIGHTNING
LSE LOOSE

CODE MAPPED

MAL MALFUNCT
MSL MISALIGN
MSJ MISJUDGED
MSG MISSING
NDE NOT DETERMINED
NKN NOT KNOWN
NMO NOT MONITORED
NPE NOT PERFORMED
OB OBSTRUCTION
ODD OUTDATED
OVR OVERESTIMATED
PRT PARTED
PER PERFORMED
SL SLEET
SN SNOW
TH THUNDERSTORM
TO TORNADO
UC UNCHARTED HAZARD
UND UNDERESTIMATED
UM UNMARKED HAZARD
VH VERY HEAVY
WST WASTED
WH WHITEOUT
WRN WORN

PARTY (TCE011):

CODE MAPPED

CRE CREWMEMBER
FBN FACILITY PERSONNEL, NEC
MAN MANAGEMENT
MST MASTER
OPR OPERATOR
PAS PASSENGER

CODE MAPPED

PIC PERSON-IN-CHARGE
PRI PRIVATE CONTRACTOR
YB SHIPYARD PERSONNEL
TNK TANKERMAN
VBN VESSEL PERSONNEL, NEC

TKFC - TICKET INVESTIGATION FUNDS COLLECTED

ENTRY SCREEN

COMMAND/ _____ RESPONSE/ PLS ENTER YOUR RESPONSE
 TKFC _____ TICKET INVESTIGATION FUNDS COLLECTED _____ 02APR91

RECORD DATE RECEIVED AS/ 22APR91

	CASE NUMBER	AMOUNT RECEIVED	DEBIT INDICATOR
1	TK91000021	100.50	—
2	TK91000003	300	X
3	TK91000361	1000	—
4	TK91000056	450	—
5	TK91000093	100	—
6	_____	_____	—
7	_____	_____	—
8	_____	_____	—
9	_____	_____	—
10	_____	_____	—
11	_____	_____	—
12	_____	_____	—
13	_____	_____	—
14	_____	_____	—
15	_____	_____	—
16	_____	_____	—
17	_____	_____	—
18	_____	_____	—
19	_____	_____	—
20	_____	_____	—
21	_____	_____	—
22	_____	_____	—
23	_____	_____	—
24	_____	_____	—
25	_____	_____	—

TKFC - TICKET INVESTIGATION FUNDS COLLECTED

ENTRY SCREEN - CONFIRMATION

COMMAND/ _____ RESPONSE/ PLS ENTER YOUR RESPONSE _____
 TKFC _____ TICKET INVESTIGATION FUNDS COLLECTED _____ 02APR91

RECORD DATE RECEIVED AS/ 22APR91

CASE NUMBER	AMOUNT RECEIVED	PARTY NAME	PROCESSING RESULTS	BALANCE DUE
1 TK91000021	100.50	GEORGE F TRUETT COMPANY		
2 TK91000003	300		CASE UNKNOWN	
3 TK91000361	1000	FISH INC	RECHK AMT PD	
4 TK91000056	450	JOSEPH GREEN		
5 TK91000093	100	BRENDA FINE		
6 TK91000016			AMT IS BLANK	
7				
8				
9				
10				
11				
12				
13				
14				
15				
16				
17				
18				
19				
20				
21				
22				
23				
24				
25				

RETRIEVAL SCREEN

COMMAND/ _____ RESPONSE/ PLS ENTER YOUR RESPONSE _____
 TKFC _____ TICKET INVESTIGATION FUNDS COLLECTED _____ 02APR91

CASE/ TK91000093 RESPONSIBLE CHARGED/ BRENDA FINE
 TOTAL ASSESSED/ 500

----- PAYMENT -----				
DATE	AMOUNT	TOTAL PAID	TOTAL DUE	BALANCE DUE
01APR91	100	100	500	400
08APR91	100	200	500	300
22APR91	100	300	500	200
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

TKMV - TICKET INVESTIGATION MARINE VIOLATION LOG

COMMAND/ _____ RESPONSE/ PLS ENTER YOUR RESPONSE
 TKMV _____ TICKET INVESTIGATION MARINE VIOLATION LOG _____ 10NOV94

UNIT/ SEAMS TOTAL CASES/ 5

ITEM	TICKET NUMBER	VIOLATION NUMBER	SUBJECT	TICKET ISSUE DATE	INIT	STATUS
1.	<u>TK11003076</u>	<u>MV94000138</u>	<u>MORMAC VEGA SPILL FINA REF</u>	<u>05NOV94</u>	<u>DWG</u>	<u>DECLINED</u>
	QUEUE:	IATR/ _	MVCA/ _			
2.	<u>TK11003070</u>	<u>MV94000137</u>	<u>F/V PURE GOLD SPILL</u>	<u>29OCT94</u>	<u>DWG</u>	<u>DECLINED</u>
	QUEUE:	IATR/	MVCA/ _			
3.	<u>TK10000009</u>	<u>MV94000136</u>	<u>RHUM LINE WANDERER SPILL</u>	<u>23SEP94</u>	<u>DWG</u>	<u>60-DAYS</u>
	QUEUE:	IATR/	MVCA/ _			
4.	<u>TK11003065</u>	<u>MV94000135</u>	<u>EXORCET LANCER SPILL</u>	<u>29OCT94</u>	<u>DWG</u>	<u>HQ ACTION</u>
	QUEUE:	IATR/	MVCA/ _			
5.	<u>TK11003064</u>	<u>MV94000134</u>	<u>SEA ROBIN PPR VIOL</u>	<u>29OCT94</u>	<u>DWG</u>	<u>DECLINED</u>
	QUEUE:	IATR/	MVCA/ _			

TKNS - TICKET INVESTIGATION NARRATIVE SUPPLEMENT

COMMAND/ _____ RESPONSE/ PLEASE ENTER YOUR RESPONSE
TKNS _____ TICKET INVESTIGATION NARRATIVE SUPPLEMENT 10NOV94

CASE/ TK00000903 TICKET DATE/ 19JUL94 PORT/ SEAMS

--- COMMENTS ---

FIVE ELEMENTS OF A VIOLATION: 1) Diesel fuel entered the water. 2) It
entered the Galveston Ship Channel, a navigable waterway of the U.S. 3) A
harmful quantity was demonstrated by the appearance of a sheen on the water's
surface which was observed by myself and MK3 Wertz. 4) The diesel fuel was
discharged from the M/V Rio Bravo. 5) The registered Operator of M/V Rio
Bravo is Tidewater Marine.

//S//

INVESTIGATOR: Roland W Scammel, RM3, USCG

TKOP - TICKET INVESTIGATION OVERPAYMENT LOG

COMMAND/ _____ RESPONSE/ PLS ENTER YOUR RESPONSE
 TKOP _____ TICKET INVESTIGATION OVERPAYMENT LOG 08DEC93

SEL	CASE NUMBER	TICKETED PARTY	ISSUE DATE	TICKET AMNT	AMNT PAID	DEL
1.	TK00003024	DOBY GILLIS	23JUN94	500	550	-
2.	TK00003214	MAYNARD CREBBS	17JUL94	1000	2000	-
3.	TK00000256	ZELDA HINKELMEYER	16MAR94	700	723	-
4.	TK00003648	GERRY MATHEWS	15JAN94	200	205	-
5.	TK00005492	WALTER CLEAVER	18OCT94	100	1000	-

TKPL - TICKET INVESTIGATION PORT LOG

COMMAND/ _____ RESPONSE/ KEY "SEL,1,2,...." FOR IATR(S)
 TKPL _____ TICKET INVESTIGATION PORT LOG 10NOV94

UNIT/ GALMS TOTAL CASES/ 13

SEL	CASE NUMBER	TICKET ISSUE DATE	SUBJECT	INT	CLOSED DATE	STATUS
1.	TK00000735	24SEP94	1G M/V FRIENDSHIP GSC N	V EGF	24OCT94	PD IN FULL
2.	TK00000729	26AUG94	30G OFS GMX>12 N	V JJD	18OCT94	60-DAYS
3.	TK00000730	28AUG94	10G OFS GMX>12 N	V JED	18OCT94	60-DAYS
4.	TK00000734	09SEP94	8G OFS TBY N	V DYD	14OCT94	PD IN FULL
5.	TK00000728	31AUG94	1G OFS GMX>12 N	V BWD	11OCT94	PD IN FULL
6.	TK00000731	01SEP94	5G M/V MAJOR JOE ICW N	V SJN	30SEP94	PD IN FULL
7.	TK00000724	09JUL94	20G M/VJOANNESTEGBAUER	WRY	30SEP94	PD IN FULL
8.	TK00000725	25JUL94	20G OFS SHELL GMX>12 N	NDE	16SEP94	PD IN FULL
9.	TK00000727	10JUL94	1G M/V SULBY TCC N	YJS	16SEP94	PD IN FULL
10.	TK00000732	01SEP94	COASTWIDE MARINE DOI	DWG	15SEP94	PD IN FULL
11.	TK00000723	29JUN94	HOLLYWOOD 3101	LMK	03AUG94	CTF
12.	TK00000721	04MAY94	40G OFS HI BLK 129 GMX>12 N	V REC	17AUG94	PD IN FULL
13.	TK00000722	01JUN94	1/4G F/V TX8543ZV ICW341 N	V JWC	10JUN94	PD IN FULL

TKPP - TICKET INVESTIGATION PARTIAL PAYMENT LOG

COMMAND/ TKPP	RESPONSE/ MSIS	NEXT ON QUEUE
TICKET INVESTIGATION PARTIAL PAYMENT LOG		10NOV94
ITEM	CASE NUMBER	PERSON RECEIVING TICKET
1.	TK00001422	MR. J. ALIBERTI
	TICKETED: IPN/ IP86000349	NAME/ P.A. LEMOS AND ASSOCIATES LTD.
2.	TK00000863	ROBY FULKERSON
	TICKETED: IPN/ IP88029297	NAME/ GENERAL ATLANTIC RESOURCES, INC.
3.	TK00000161	WALTER GREEN
	TICKETED: IPN/ IP94011450	NAME/ BELLE ISLE MARINA

TKPS - TICKET INVESTIGATION POLLUTION SUPPLEMENT

WITNESS SCREEN IMAGE

COMMAND/ _____ RESPONSE/ PLS ENTER YOUR RESPONSE
TKPS _____ TICKET INVESTIGATION POLLUTION SUPPLEMENT 25JUL91

CASE NUMBER/ TK00000324 INCIDENT DATE/ 02JUL91 UNIT/ SFCMS
SUBJECT..../ WAVE RIDER

PART I - WITNESS AND OTHER PERSONS MENTIONED IN REPORT

PERSON REPORTING - IPN/ _____ Name/ RALPH C. SCAMMEL
Phone Number/ 617-267-0777 Addr/ 1313 MOCKING BIRD LANE

SAN FRANCISCO
CA 96635-1000

Employed by/ _____ IPN/ _____

1. Name/ EM2 STEVEN HAGER IPN/ _____
Addr/ CG MSO SAN FRANCISCO Phone / 671-477-3340
Position/ E-5
Connection with Case/ INVESTIGATOR
Statement Attached? / YES Encl/ SUMM

Employed by/ CA 96630-5000
U. S. COAST GUARD IPN/ _____

2. Name/ _____ IPN/ _____
Addr/ _____ Phone / _____
Position/ _____
Connection with Case/ _____
Statement Attached? / _____ Encl/ _____

Employed by/ _____ IPN/ _____

SAMPLES SCREEN IMAGE

COMMAND/ _____ RESPONSE/ PLS ENTER YOUR RESPONSE
TKPS _____ TICKET INVESTIGATION POLLUTION SUPPLEMENT 25JUL91

CASE NUMBER/ TK00000324 INCIDENT DATE/ 02JUL91 UNIT/ SFCMS
SUBJECT..../ WAVE RIDER

PART II - SAMPLES

1. Taken from/ TANK #5
Sample ID / _____ Source Type/ SPILL Pollutant Form/ TAR BALLS
Taken by / EM2 STEVEN HAGER Date/ 02JUL91 at/ 0900 EST
Witness / _____

2. Taken from/ _____
Sample ID / _____ Source Type/ _____ Pollutant Form/ _____
Taken by / _____ Date/ _____ at/ _____
Witness / _____

Remarks/ _____

TKPS - TICKET INVESTIGATION POLLUTION SUPPLEMENT (cont)

PHOTOGRAPHS SCREEN IMAGE

COMMAND/ _____ RESPONSE/ PLS ENTER YOUR RESPONSE
 TKPS _____ TICKET INVESTIGATION POLLUTION SUPPLEMENT 25JUL91

CASE NUMBER/ TK00000324 INCIDENT DATE/ 02JUL91 UNIT/ SFCMS
 SUBJECT..../ WAVE RIDER

PART III - PHOTOGRAPHS

1. Photo ID No./ 3 Film: Size/ 110-12 Type/ COLOR PRINTS Encl/ 01B
 Taken by / EM2 STEVEN HAGER Date/ 02JUL91 at/ 0900 EST
 Remarks/ _____

2. Photo ID No./ _____ Film: Size/ _____ Type/ _____ Encl/ _____
 Taken by / _____ Date/ _____ at/ _____
 Remarks/ _____

3. Photo ID No./ _____ Film: Size/ _____ Type/ _____ Encl/ _____
 Taken by / _____ Date/ _____ at/ _____
 Remarks/ _____

4. Photo ID No./ _____ Film: Size/ _____ Type/ _____ Encl/ _____
 Taken by / _____ Date/ _____ at/ _____
 Remarks/ _____

5. Photo ID No./ _____ Film: Size/ _____ Type/ _____ Encl/ _____
 Taken by / _____ Date/ _____ at/ _____
 Remarks/ _____

TKPS - TICKET INVESTIGATION POLLUTION SUPPLEMENT (cont)

POLLUTANT SCREEN IMAGE

COMMAND/ _____ RESPONSE/ PLS ENTER YOUR RESPONSE
TKPS TICKET INVESTIGATION POLLUTION SUPPLEMENT 31JAN91

CASE NUMBER/ TK00000324 INCIDENT DATE/ 02JUL91 UNIT/ SFCMS
SUBJECT..../ WAVE RIDER

PART IV - POLLUTANTS

NUMBER OF SUBSTANCES SPILLED/ 1

CODE/ OIL NAME/ OIL: Crude
TOTALS: POTENTIAL/ 1000 SPILLED/ 100 UNITS/ GALLONS

CODE/ _____ NAME/ _____
TOTALS: POTENTIAL/ _____ SPILLED/ _____ UNITS/ _____

TKPS - TICKET INVESTIGATION POLLUTION SUPPLEMENT (cont)

DATA SLOT DEFINITIONS

STATES AND TERRITORIES

See Chapter 2, GENERAL
DATA ELEMENT TYPES, of
the Quick Reference
Guide.

CONNECTION WITH CASE

CODE MAPPED

I INVESTIGATOR
S SUSPECT
W WITNESS

SOURCE TYPE

CODE MAPPED

SP SPILL
SU SUSPECT
OT OTHER

POLLUTANT FORM

CODE MAPPED

L LIQUID
S SOLID
TB TAR BALLS
TF THIN FILM
W WATER

FILM SIZE

CODE MAPPED

A 110-12
B 110-24
C 126-12
D 126-24
E DISC-15
F 35MM-12
G 35MM-24
H 35MM-36
P POLAROID

FILM TYPE

CODE MAPPED

BP B&W PRINTS
BS B&W SLIDES
CP COLOR PRINTS
CS COLOR SLIDES
NEC NEC

UNITS (PSS009):

CODE MAPPED

B BARRELS
G GALLONS
P POUNDS
T TONS-2K

TKSL - TICKET INVESTIGATION SLEEPING CASE LOG

COMMAND/ _____ RESPONSE/ KEY "SEL,1,2,...." FOR IATR(S)
 TKSL _____ TICKET INVESTIGATION SLEEPING CASE LOG 10NOV94

UNIT/ GALMS TOTAL CASES/ 7

SEL	CASE NUMBER	INT	SUBJECT	TICKET ISSUE DATE	CONVERT TO MV DATE
1.	TK00000881	NJG	70G F/V GB N	V 14JUL94	16AUG94
2.	TK00000880	MGJ	7G OFS VP WELL#37 TBY N	V 27SEP94	12NOV94
3.	TK00000737	JJD	1G OFS GMX>12 N	V 01OCT94	26NOV94
4.	TK00000964	MGJ	1G T/B GIM 109 P.I. N	V 25OCT94	10DEC94
5.	TK00000941	WRM	.5G STAPP T/B DB-32 N	V 19OCT94	04DEC94
6.	TK00001001	NJG	5G P/C WET DREAM CL R	V 20OCT94	06DEC94
7.	TK00000943	WRM	7.5G ONS AMOCO OIL TCC R	V 05NOV94	21DEC94

TKUL- TICKET INVESTIGATION UNKNOWN TICKET LOG

TKUL TICKET INVESTIGATION UNKNOWN TICKET LOG 10NOV94

ITEM	CASE NUMBER	DATE ISSUED	ISSUE PORT	PERSON RECEIVING TICKET	AMOUNT PAID	DATE PAID
1.	TK11003082	29OCT94	SEAMS	HOPEY YEATON	200.00	09NOV94
	STATUS/	TICKET NOT VALIDATED		APPLY AS IS/	DELETE/	
2.	TK11003083	29OCT94	SEAD	HOPEY HEATON	200.00	09NOV94
	STATUS/	TICKET NOT VALIDATED		APPLY AS IS/	DELETE/	
3.	TK11003093	29OCT94	SEAMS	HOPLEY YEATON	300.00	02NOV94
	STATUS/	TICKET NOT VALIDATED		APPLY AS IS/	DELETE/	
4.	TK11003039	29OCT94	SEAD	HOPLEY YEATON	1000.00	31OCT94
	STATUS/	TICKET NOT VALIDATED		APPLY AS IS/	DELETE/	
5.	TK11003035	15OCT94	MIAMS	PRINCESS BAHAMAS	500.00	31OCT94
	STATUS/	CONVERTED TO MV		APPLY AS IS/	DELETE/	
6.	TK11003015				1000.00	29OCT94
	STATUS/	TICKET UNKNOWN		APPLY AS IS/	DELETE/	
7.	TK11003014				1000.00	29OCT94
	STATUS/	TICKET UNKNOWN		APPLY AS IS/	DELETE/	
8.	TK11003013				1000.00	29OCT94
	STATUS/	TICKET UNKNOWN		APPLY AS IS/	DELETE/	
9.	TK11003012				1000.00	29OCT94
	STATUS/	TICKET UNKNOWN		APPLY AS IS/	DELETE/	
10.	TK11003011				1000.00	29OCT94
	STATUS/	TICKET UNKNOWN		APPLY AS IS/	DELETE/	
11.	TK94322001		EXORCET	PATRIOT	1000.00	07JUL94
	STATUS/	PAID IN FULL		APPLY AS IS/	DELETE/	

IASP - INVESTIGATION ACTIVITY STATUS AT PORT

COMMAND/ _____ RESPONSE/ "SEL,1,2,..." FOR INV REPORT(S)
IASP INVESTIGATION ACTIVITY STATUS AT PORT 10NOV94

UNIT/ GALMS TOTAL OPEN CASES/ 61

SEL	INV	CASE NUMBER	INCIDENT DATE	SUBJECT	PARAMETERS
1.	BJW	TK00000966	07NOV94	1G, OFS-HI385C, GMX<12, N, V	POL TICKET FWPCA
2.	FVS	MC94023155	22OCT94	F/V PURSUER-P-GMX>12(STAR)	PERSON CAS
3.	FVS	MC94023150	20OCT94	F/V VILCOIV-A-GMX>12-D?	ALLISION
4.		MC94023050	03NOV94	UTV J. HARRIS MASTERSON E GSC	ALLISION
5.		MC94023045	08NOV94	UTV CHARLTON BRENT G ICW D=00	
6.		MC94023043	08SEP94	UTV REGINA ANN P ICW D=00	
7.		MC94023025	21OCT94	UTV BROWNWATER VI C Y D=00	
8.		MC94023023	04OCT94	FM/V LAPLANDIA C HSC D=XXXX	
9.		MC94023022	28OCT94	UTV CORONADO C ICW D=0	
10.		MC94022975	31OCT94	UTV O.O. GRIFFIN G ICW D=0	
11.		MC94022968	24OCT94	UTV JACKIE LEE A BICW D=0	
12.	RJH	MC94022941	11OCT94	UTV CHARLTON BRENT G ICW D=0	
13.		MC94022939	06NOV94	UTV BIG BOY G ICW D=0	
14.		MC94022927	02NOV94	UTV J. HARRIS MASTERSON E GSCDO	
15.		MC94022849	04NOV94	F/V FOURTH LADY	POLLUTION
16.	WRM	MC94022788	03NOV94	9P ONS UNION CARBIDE CO N	C POLLUTION
17.	WRM	MC94022782	03NOV94	100P ONS AMOCO OIL CO N	C POLLUTION
18.		MC94022757	10AUG94	J. RIKER ALLISION	ALLISION
19.	MGJ	MC94022680	02NOV94	MYS GSC LIBERTY N	B POLLUTION
20.	MGJ	TK00000965	23OCT94	2G BA-455-A GMX>12 N	V POL TICKET FWPCA
21.	WRM	TK00000942	25OCT94	1B M/V OVERSEAS ALICE GEC R	V POL TICKET FWPCA
22.	RJH	MC94021949	12AUG94	M/V RAZORBACK ALLISION	ALLISION
23.	MGJ	TK00000963	17OCT94	5G BA-455-A GMX>12 N	V POL TICKET FWPCA
24.	BME	MC94021474	10OCT94	UTV CHERYL DOBARD-G-HSC-D=00	
25.	MGJ	MC94021282	05OCT94	UNK F/V CAPT TOMMY GMX>12 N	V POLLUTION
26.	FVS	MC94021164	10OCT94	F/V WOODY, FL, GMLX<12, D0	FLOODING
27.	RGW	MC94021163	06OCT94	UTV CHERYL ANN, A, GEC, D?	ALLISION
28.	JJD	TK00000736	24SEP94	1G OFS GMX>12 N	V POL TICKET FWPCA
29.	CDW	MC94020745	04OCT94	FM/V LAP, F/BE OC350, C, GJ, D?	COLLISION
30.	BME	MC94020575	30SEP94	UTV SEA KING, P, GEC, (HAYES)	PERSON CAS
31.	RJH	MC94020427	29SEP94	T/BF DXE-1123, G, Y, D0	GROUNDING
32.	FVS	MC94020422	19SEP94	T/BF, H-3023, F/V LSE L, C, FSC, D	COLLISION
33.	CDW	MC94020214	21SEP94	UTV MARINE POINT, A, TCC, D250	ALLISION
34.	JJD	MC94020040	24SEP94	1G OFS GMX>12 R	V POLLUTION
35.	JJD	MC94020035	23SEP94	10G M/V BONA FALCON TCC R	V POLLUTION
36.	JJD	MC94019754	21SEP94	20G MYS DB S	F POLLUTION
37.	CDW	PA93001840	25AUG93	HILL, JR. USE OF COCAINE	S&R
38.	CDW	MC94019027	08SEP94	M/V HOWELL LYKES, A, GSC, D40	ALLISION
39.	CDW	MC94019024	02SEP94	UTV JMS R HINES, P, ICW, THOMPSON	PERSON CAS
40.	CDW	MC94019022	12SEP94	FM/V CHMBLK, P, TCC, (THAN & SOE)	PERSON CAS
41.	NJC	MC94019017	30AUG94	3KG F/V CRACKER JACK N	V POLLUTION
42.	CDW	MC94018762	17AUG94	F/V, T/B/F TPT 118, C, ICW, D?	COLLISION
43.	CDW	MC94018757	25AUG94	UTV STAR, G, HSC, D?	GROUNDING
44.	BME	MC94018006	30AUG94	FM/V ELDA, F/V CKRJCK, C, GMX>12	COLLISION
45.	CDW	MC94017827	12AUG94	T/BE DC535, A, GCB, D2	ALLISION

PRELIMINARY

TKTS - TICKET INVESTIGATION TICKET STATISTICS

TKTS

TICKET INVESTIGATION TICKET STATISTICS

10NOV94

PORT/ _____

AS OF/ _____

---TICKET ACTIVITY---

	FWPCA		PPR		COMBINATION		WARNING Count
	Count	Penalty	Count	Penalty	Count	Penalty	
TK's Issued	_____	_____	_____	_____	_____	_____	_____
TK's CTF	_____	_____	_____	_____	_____	_____	_____
Pursued by MC	_____	_____	_____	_____	_____	_____	_____
Pursued by PS	_____	_____	_____	_____	_____	_____	_____
Pursued by TK	_____	_____	_____	_____	_____	_____	_____
No Action	_____	_____	_____	_____	_____	_____	_____
TK's Declined	_____	_____	_____	_____	_____	_____	_____
TK's Fully Paid	_____	_____	_____	_____	_____	_____	_____
TK's Partial Paid	_____	_____	_____	_____	_____	_____	_____
TK's Rolled to MV	_____	_____	_____	_____	_____	_____	_____
TK's Open	_____	_____	_____	_____	_____	_____	_____
TK's Sleeping	_____	_____	_____	_____	_____	_____	_____
TK's Closed	_____	_____	_____	_____	_____	_____	_____

---PROCESSING DATA---

AVERAGE # OF DAYS

Incident date to sleeping date	_____
Issue date to date paid	_____
Date converted to date fwd to district	_____
Date converted to date fwd to HO	_____
Date fwd to district to date fwd to HO	_____
Date converted to date prelim. assessment letter sent	_____
Date fwd to HO to date prelim. assessment letter sent	_____

---HEARING OFFICER ACTIONS ON MV CASES WITH TK DETECTING CASES---

CASES

Where penalty amount assessed was left the same:	
Actual count	_____
Percent of tickets	_____%
Where penalty amount assessed was increased:	
Actual count	_____
Percent of tickets	_____%
Where penalty amount assessed was decreased:	
Actual count	_____
Percent of tickets	_____%
Where HO action was case dismissed:	
Actual count	_____
Percent of tickets	_____%
Where HO action was issue warning:	
Actual count	_____
Percent of tickets	_____%

Percent of Tickets is Tickets converted to MV and referred to HO.

---TICKET DATA---

COUNT

Eligible Oil Spill Cases	_____
Tickets (Oil Spill Cases)	_____
Eligible Oil Spill Cases that MV was processed	_____

PRELIMINARY

TKTS - TICKET INVESTIGATION TICKET STATISTICS

---TICKET DATA---

	COUNT
Elegible Oil Spill Cases	_____
Tickets (Oil Spill Cases)	_____
Eligible Oil Spill Cases that MV was processed	_____

--- FWPCA TICKET ACTIVITY ---

	Noncommercial		Commercial Individuals		Commercial	
	Count	Penalty	Count	Penalty	Count	Penalty
TK's Issued	_____	_____	_____	_____	_____	_____
TK's CTF	_____	_____	_____	_____	_____	_____
Pursued by MC	_____	_____	_____	_____	_____	_____
Pursued by PS	_____	_____	_____	_____	_____	_____
Pursued by TK	_____	_____	_____	_____	_____	_____
No Action	_____	_____	_____	_____	_____	_____
TK's Declined	_____	_____	_____	_____	_____	_____
TK's Paid in Full	_____	_____	_____	_____	_____	_____
TK's Partial Paid	_____	_____	_____	_____	_____	_____
TK's Rolled to MV	_____	_____	_____	_____	_____	_____
TK's Open	_____	_____	_____	_____	_____	_____
TK's Sleeping	_____	_____	_____	_____	_____	_____
TK's Closed	_____	_____	_____	_____	_____	_____

--- REPEAT OFFENDER TICKET ACTIVITY ---

	Noncommercial		Commercial Individuals		Commercial	
	Count	Penalty	Count	Penalty	Count	Penalty
TK's Issued	_____	_____	_____	_____	_____	_____
TK's CTF	_____	_____	_____	_____	_____	_____
Pursued by MC	_____	_____	_____	_____	_____	_____
Pursued by PS	_____	_____	_____	_____	_____	_____
Pursued by TK	_____	_____	_____	_____	_____	_____
No Action	_____	_____	_____	_____	_____	_____
TK's Declined	_____	_____	_____	_____	_____	_____
TK's Paid in Full	_____	_____	_____	_____	_____	_____
TK's Partial Paid	_____	_____	_____	_____	_____	_____
TK's Rolled to MV	_____	_____	_____	_____	_____	_____
TK's Open	_____	_____	_____	_____	_____	_____
TK's Sleeping	_____	_____	_____	_____	_____	_____
TK's Closed	_____	_____	_____	_____	_____	_____

